
The Commanders' Emergency Response Program (CERP)

April 2013

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The Commanders' Emergency Response Program (CERP)

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Preface

This Army techniques publication (ATP) provides doctrinal guidance and techniques that assist personnel who are appointed to perform duties in the CERP.

ATP 1-06.2 has four chapters and five appendices. Chapter 1 provides an overview of the program and describes its congressional intent and considerations for implementation. It allows participants to understand the purpose of the program and provides guidelines to maximize use. Chapter 2 describes roles and responsibilities within the program and allows all participants to understand their interaction and why their duties are unique. Chapter 3 illustrates the different processes associated with the procurement of goods or services and special payments involved in the program and the timing of each participant's duties. This chapter assists participants in understanding the chronological flow of different tasks. Chapter 4 explains specific tasks associated with the transfer of authority (TOA) between units and sets the conditions for smooth transition. The subsequent appendices provide process matrices and sample forms.

ATP 1-06.2 was developed to expand on FM 1-06, *Financial Management Operations*, Chapter 2, *Fund the Force*. Prevalent practices were also extracted from several theater-level standing operating procedures (SOPs).

ATP 1-06.2 applies to all Army components across the operating and generating force, and during all levels of military operations.

The proponent for this manual is the U.S. Army Training and Doctrine Command (TRADOC) and the preparing agent is the U.S. Army Soldier Support Institute (SSI). Send comments and recommendations to jacksonatsgcdidfindoctrine@conus.army.mil or on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, U.S. Army Soldier Support Institute, ATTN: ATSG-CDI, Building 10000, Fort Jackson, SC 29207-7045.

Unless this publication states otherwise, masculine nouns and pronouns do not refer exclusively to men.

Introduction

The CERP has become a critical capability in the commander's toolbox for conducting stability, development, and humanitarian assistance operations where Congress has specifically authorized its use. CERP funds provide tactical commanders a means to conduct multiple stability tasks that have traditionally been performed solely by U.S., foreign, or indigenous professional civilian personnel or agencies. These tasks include but are not limited to the reconstruction of infrastructure, support to governance, restoration of public services, and support to economic development.

The Department of State (DOS) has the primary responsibility, authority, and funding through the United States Agency for International Development (USAID) to conduct foreign assistance on behalf of the U.S. government (USG). The legal authority for the DOS security assistance and development assistance missions is found in the Foreign Assistance Act of 1961, 22 USC. §2151.1. An exception to this authority occurs when Congress enacts a Department of Defense (DOD) appropriation and/or authorization to conduct foreign assistance. The CERP, as currently funded, falls within this exception for Humanitarian Assistance Authorizations and Appropriations.

CERP is resourced with federally appropriated funds of the USG but are not subject to the provisions of the Federal Acquisition Regulation and the Prompt Payment Act. These funds are provided to military commanders to meet the urgent humanitarian relief and reconstruction requirements of the civilian population of the host nation. CERP is expected to be coordinated with existing civilian efforts (USG and others) to ensure that at the least, avoidance of duplication of efforts, and at best, a leveraging of funds occur. The U.S. Army Budget Office provides CERP funds to the Army Service Component of the Combatant Command who, in turn, distributes these funds to the Theater Army Commander. Major subordinate commands (MSCs) provide guidance, establish priorities, and identify focus areas for the use of CERP amongst subordinate headquarters in support of theater-specific strategic objectives and desired effects. These objectives may vary over time. Examples of theater-level objectives for the CERP include the following:

- Ensuring urgent humanitarian relief and reconstruction requirements are met for the indigenous population.
- Improving local governance capacity by partnering with provincial government agencies in identifying, prioritizing, selecting, and developing projects.
- Ensuring the larger, strategic projects and services are connected to the end user in local communities.
- Creating momentum and conditions for economic recovery and development.

Funding unified land operations is one of the most challenging elements that must be accomplished to ensure success. This has become more critical with budget reductions, fiscal restraints, and a need to ensure our dollars are applied to maximize the effectiveness of their use. Leaders must know not only what funding resources are available to them, but how to best apply them in the operating environment. Resources, particularly the coordinated and synchronized use of money, have a central role in ongoing operations given the effects they bring to bear on the fight. While the scope of requirements, multitude of legislative authorities, fiscal law challenges and perpetual contracting needs may appear daunting, they are manageable.

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Chapter 1

Program Overview

This chapter provides an overview and describes the congressional intent of the CERP and considerations for implementation. This chapter allows participants to understand the purpose of the program and provides guidelines to maximize results.

PURPOSE

1-1. The National Defense Authorization Act of 2012 describes CERP as “the program that (1) authorizes United States military commanders in Afghanistan to carry out small-scale projects designed to meet urgent humanitarian relief requirements or urgent reconstruction requirements within their areas of responsibility; and (2) provides an immediate and direct benefit to the people of Afghanistan.”

Note: Because Congressional appropriations are written for a specified time and purpose, it is important to understand that CERP is exclusively authorized in Afghanistan at the time of this publication. This specific appropriation may or may not continue to exist and may not be available in commanders’ areas of responsibility (AORs) in the future.

1-2. In order to maximize the effects and optimize the use of funding for the program, commanders are required to verify that local, national, donor nation, nongovernmental organizations (NGO) or other aid or reconstruction resources are not reasonably available before using CERP funds. Because it is a commander’s program, commanders should be actively engaged in the execution of the CERP.

Note: Unit commanders without approval authority should develop requirements within their area of responsibility and staff them through their next higher-level CERP Manager.

PROJECT SELECTION

1-3. CERP funds provide commanders with a non-lethal weapon system for high payoff projects and services and a quick and effective method to institute an immediate positive impact. Commanders should reduce their focus on larger projects, where execution is protracted, and concentrate on projects with *immediate* benefit to the local population; national-level projects are better suited for other aid organizations. Commanders should also prioritize those CERP projects that focus on urgent humanitarian relief while providing significant employment opportunities for the general population. After a baseline assessment is conducted that identifies needs or sources of instability, the keys to a project’s selection are its ability to:

- Provide an immediate and measurable benefit to the local population.
- Be completed quickly.
- Promote local national employment.
- Be highly visible to the local populace.
- Be sustained by the host nation after turnover.
- Incorporate host nation entities throughout the life of the project, from inception to turnover.
- Accepted as beneficial by the local indigenous population.

DESIRED EFFECTS AND PERFORMANCE METRICS

1-4. Since CERP enables the delivery of non-lethal effects, it is important to develop performance metrics that measure easily the project's desired effects in a timely fashion. The DoDFMR 7000.14-R, Volume 12, Chapter 27 states, "procedures for evaluating proposed projects should consider the:

- Extent of immediate benefit to the local population.
- Sustainability of the project.
- Name and stability of the local partner.
- Number of the local population engaged in the project.
- Number of locals benefitting which can also be considered as a cost-benefit or per capital analysis.
- Executability of the project (i.e., in terms of completion, operation and sustainment of the project).
- Relationship to other similar efforts (e.g., replicating other successful projects funded with CERP and/or other donors)."

1-5. Commanders need to ensure project justifications provide facts which accurately describe the current problem and then articulate how the CERP project is the solution to reach the desired end state. For significant infrastructure and development projects, commanders should ensure the justification clearly defines the humanitarian urgency, in order to differentiate the CERP project from projects better suited for execution by other agencies. Ultimately, commanders need to evaluate how projects can add value to the local community in order to build capacity, promote peace and hope for future generations, and build trust and lasting support. Close coordination between commanders, local leaders, engineers, Civil Affairs forces, financial managers, Staff Judges Advocate (SJAs), contracting officers, medical professionals, and other appropriate subject matter experts is vital to ensure funds are applied consistently to achieve desired effects.

1-6. Following a baseline assessment which aims to identify the appropriate source of instability or the most urgent needs in a tactically significant village or cluster of villages, commanders will ensure that CERP projects focus primarily on:

- Projects that can be sustained by the local population or government and are relatively small in nature.
- Reconstructing structures damaged during military operations to rapidly improve conditions (e.g., repairing homes, roads, and mosques).
- Making emergency repairs on critical facilities (e.g., hospitals, water treatment facilities, and electrical plants).
- Fostering local economic development through micro-grants, agricultural improvements (e.g., wheat seed distribution, fruit saplings) and other small-scale projects.
- Resolving small-scale critical infrastructure shortfalls that can be rapidly repaired (e.g., bridges, clinics and irrigation systems).
- Reducing the risk of injury to the local populace by: constructing security fences and barriers; removal of trash and sewage; and installing traffic control and other warning signs.
- Procuring critical equipment: to replace lost, stolen, non-repairable items; and to establish critical community essential services (e.g., new parts for a water pump or backup generators for a hospital).
- Employing as many members of the indigenous population to execute the above projects (after determining an appropriate cost-share agreement) in order to leverage local resources (e.g., labor, funding), foster ownership, and build capacity.
- Other areas as the commander deems appropriate.

PROGRAM USES

1-7. CERP may be used to assist the host nation populace in several areas. It is essential to determine sufficient capacity exists for energy sources and maintenance parts for any of the below-mentioned

projects. Risks must also be identified during a project's inception stages to prevent its subsequent targeting or use by the insurgency. CERP may be used to projects categorized as:

Note: The following 20 categories are IAW the DoDFMR 7000.14-R, Volume 12, Chapter 27, Annex A, which is subject to change by Office of the Secretary of Defense (OSD). These categories are accurate as of the publication of this manual. Ensure consistency with current DoDFMRs.

AGRICULTURE/IRRIGATION

1-8. Projects to increase agricultural production or cooperative agricultural programs. This includes irrigation systems and the following:

- Reforestation (e.g., fruit and nut producing trees), timber production.
- Wind breaks for fields.
- Pesticide control for crops.
- Veterinary clinics, supplies, and care of animals.
- Seeds for planting.
- Purchase of parent livestock for herds.
- Animal health.
- Animal production.
- Aquaculture.
- Fish farms.
- Conservation programs.
- Biotechnology.
- Purchase of initial farm equipment or implements.
- Irrigation wells (for drinking wells, see Water & Sanitation).
- Irrigation ditches.
- Canal cleanup.
- Water pumps.
- Siphon tubes.
- Development and construction of terracing.
- Sprinkler irrigation.
- Dust suppression.
- Central pivot irrigation.
- Sub-irrigation.
- Aquifer development.
- Agricultural Training Facilities and Demo-Farms.

BATTLE DAMAGE REPAIR

1-9. Projects to repair, or make payments for repairs, of property damage that results from U.S., multinational, or supporting military operations and is not compensable under the Foreign Claims Act.

CIVIC CLEANUP ACTIVITIES

1-10. Projects to cleanup public areas and area beautification:

- Streets and roads.
- Parks.
- Demolition of old buildings/structures.
- Trash removal.

CIVIC SUPPORT VEHICLES

1-11. Projects to purchase or lease vehicles by public/government officials in support of civic and community activities:

- Construction vehicles for public works.
- Water and trash trucks.
- Governmental vehicles for official duties.

CONDOLENCE PAYMENTS

1-12. CERP is authorized for payments to individuals in case of death or physical injury caused by U.S. or multinational military operations, not compensable under the Foreign Claims Act. Condolence payments can be paid to express sympathy and to provide urgent humanitarian relief. Commanders must verify that a claim against the USG is not a viable option under the Foreign Claims Act prior to using CERP for condolence payments. Condolence payments are different from claims and are not an admission of fault by the USG. It is crucial to remember that when a commander uses CERP funds, it is not an acknowledgement of any moral or legal responsibility for someone's death, injury, or damaged property. Condolence payments are symbolic gestures and are not paid to compensate someone for a loss.

Note: CERP condolence payments are not Solatia payments and will not be referred to as such. Solatia payments must not be tied directly to a combat action and are given because it is local custom to do so. Solatia payments are paid with Operations and Maintenance, Army. For example, if an improvised explosive device detonates and the target is U.S. forces, but host nation civilians are hurt, a commander may choose to issue a Solatia payment. On the other hand, if U.S. forces accidentally hurt civilians during combat operations, condolence payments are more appropriate. For more information on Solatia payments, contact your supporting legal office.

ECONOMIC, FINANCIAL, AND MANAGEMENT IMPROVEMENTS

1-13. Projects to improve economic or financial security:

- Marketing assistance programs.
- Refurbishment of Bazaars.
- Micro-Grants to individuals or small businesses. These payments provide financial assistance to disadvantaged entrepreneurs engaged in small and micro-business activities that can support humanitarian relief and reconstruction.
- Refurbishment of district centers.

EDUCATION

1-14. Projects to repair or reconstruct schools, or to purchase school supplies or equipment:

- Build, repair, and refurbish schools (e.g., primary, middle, high, schools; colleges; trade schools and Centers of Educational Excellence).
- Tents for use as schools/classrooms.
- School supplies, textbooks.
- Furniture, desks, mats.
- Sports equipment (e.g., soccer balls/goals).

Note: Caution must be exercised prior to allocating funds for the repair/rebuilding of schools and medical facilities. For these facilities to be beneficial to the populace they must have qualified teachers and medical personnel available to provide services for which construction/renovation has been provided.

ELECTRICITY

1-15. Projects to repair, restore, or improve electrical production, distribution, and secondary distribution infrastructure. Cost analysis must be conducted so the village or district may collect revenues to ensure operation and maintenance of the system for long-term use:

- Electrical production (solar, hydro, wind, and fossil) for villages and districts (not specific to individual government buildings or homes).
- Distribution of high and low voltage to villages and districts (not specific to individual government buildings or homes).
- Secondary distribution to individual buildings and homes.
- Generators (regardless of where used). Ensure a reliable/consistent and local supply of fuel and parts.
- Studies.

Note: The cost analysis conducted must be documented, maintained in the project file, and uploaded in the Civil Information Management (CIM) system of record. If the project exceeds a prescribed threshold, the cost analysis may be required to be documented in the sustainment Memorandum of Agreement (MOA) between the USG and responsible Ministry.

FOOD PRODUCTION & DISTRIBUTION

1-16. Projects to increase food production or distribution processes to further economic development:

- Food handling technology, including refrigeration, storage, and warehousing.
- Adequate production and supply logistics, based on demand and need.
- Food labeling and packaging.
- Food production safety.
- Capacity building for production and regulation of food.
- Storage capability for pre-distribution holding.

FORMER DETAINEE PAYMENTS

1-17. Payments to individuals upon release from Multinational non-Theater Internment detention facilities or detainee holding areas. Detainees released from detention facilities are normally paid a prescribed amount for each day they were held in the detention facility. This payment will be automatic unless there is a finding by the facility commander that payment is not appropriate in a particular case. The payments will be made to provide humanitarian relief to the family and community for time spent in detention. This policy does not authorize payments to detainees upon transfer to Theater Internment Facilities. Detainee payments are not compensation, but are expressions of sympathy for wages lost during detention and to provide urgently needed humanitarian relief to individuals and their families. Detainee payments are not claims, are not an admission of fault by the government, and are not an acknowledgement of any moral or legal responsibility for a person's detention.

Note: This policy does not authorize payments to detainees upon transfer to Theater Internment Facilities.

HEALTHCARE

1-18. Projects to repair, or improve infrastructure, equipment, medical supplies, immunizations, and training of individuals and facilities in respect to efforts made to maintain or restore health especially by trained and licensed professionals:

- Construction/repair of clinics
- Ambulances/transportation for doctors in rural areas
- Construction/repair of hospitals

- Cooperative medical assistance visits and supplies
- Healthcare specific furnishings (beds, mattresses, etc.)
- Refrigeration for medication
- Expendable supplies
- Durable and non-expendable equipment for medical facilities

Note: Healthcare for animals belongs in the Agriculture/Irrigation category.

HERO PAYMENTS

1-19. Payments made to the surviving spouses or next of kin of defense or police personnel who were killed as a result of U.S., multinational, or supporting military operations. Hero payments are defined as a payment to the surviving spouse or next of kin of host nation's personnel who were killed as a result of U.S., Multinational, or supporting military operations. Hero payments are considered a subset of the Office of the Secretary of Defense (OSD) authorized condolence payment, but are only payable in the event of the death of security force individuals and at the same amounts as condolence payments. Commanders must bear in mind that a country's Ministry of Defense (MoD) and Ministry of Interior (MoI) make hero payments to the families of defense members and the national police force to provide long-term assistance. It may not be prudent to make it a standing practice to make substantial condolence payments to the families of every fallen soldier. Full consideration must be given to the hero payment system. Hero payments to these personnel and their families should be minimal and used to provide immediate assistance only. Hero payments for non-national and national police casualties must be approved on a case-by-case basis. All claims must be reviewed by a U.S. DoD attorney in order to determine whether CERP, Solatia, or Foreign claims funds will be used for payment.

PROTECTIVE MEASURES

1-20. Projects to repair or improve protective measures to enhance the durability and survivability of a critical infrastructure site (e.g., oil pipelines, electric lines):

- Fencing.
- Lights.
- Barrier materials.
- Berms over pipelines.
- Guard towers.

REPAIR OF CIVIC & CULTURAL FACILITIES

1-21. Projects to repair or restore civic or cultural buildings or facilities:

- Religious buildings.
- Civic/community centers.
- Women's centers.
- Athletic venues.
- Libraries.
- Museums.

Note: Includes repair only, not original construction

RULE OF LAW & GOVERNANCE

1-22. Projects to repair government buildings (e.g., administrative offices, court houses). CERP can be used to construct new rule of law or governance facilities in a local community. However, before beginning the project, the commander must verify that the community already had ROL and/or governance operations ongoing. For example, if a community did not operate a court house, a jail, or an administration office, the

use of CERP is inappropriate to create that infrastructure. But, where a community was or is executing governmental operations, CERP projects are appropriate to add capacity to those operations:

- Repair of governmental buildings.
- Support for the judicial system.
- Repair of jails or temporary holding facilities.
- Improvements to public service facilities.
- Support to divergent political party development.

Note: Includes repair only, not original construction

TEMPORARY CONTRACT GUARDS FOR CRITICAL INFRASTRUCTURE

1-23. Projects to guard critical infrastructure, including neighborhoods and other public areas.

TELECOMMUNICATIONS

1-24. Projects to repair or extend communication over a distance. The term telecommunication covers all forms of distance and/or conversion of the original communications, including radio, telegraphy, television, telephony, data communication, and computer networking. Includes projects to repair or reconstruct telecommunications systems or infrastructure:

- TV stations (including equipment purchase, repair, and maintenance).
- Radio stations (including equipment purchase, repair, and maintenance).
- Governmental communications systems (telephones, two-way radios, repeaters, antennas).
- Loudspeaker systems.
- Landline point to point connections to connect systems.

TRANSPORTATION

1-25. Projects to repair or restore transportation to include infrastructure and operations. Infrastructure includes the transport networks (e.g., roads, railways, airways, canals, pipelines) that are used, as well as the nodes or terminals (e.g., airports, railway stations, bus stations, seaports). The operations deal with the control of the system (e.g., traffic signals and ramp meters, railroad switches, air traffic control):

- Transportation infrastructure (e.g., roads, railway tracks, airports, ports).
- Roads (e.g., dirt, gravel, cobblestone, brick).
- Culverts.
- Bridging.
- Traffic control measures.

WATER & SANITATION

1-26. Projects to repair or improve drinking water availability, to include purification and distribution. Building wells in adequate places is a way to produce more water, assuming the aquifers can supply an adequate flow. Other water sources such as rainwater and river or lake water must be purified for human consumption. The processes include filtering, boiling, distillation among more advanced techniques (e.g., reverse osmosis). The distribution of drinking water is done through municipal water systems or as bottled water. Sanitation, an important public health measure that is essential for the prevention of disease, is the hygienic disposal or recycling of waste materials, particularly human excrement:

- Wells (regardless of the end user, unless the end user is the security forces).
- Water pumps.
- Water treatment facilities.
- Production or distribution of potable water and sanitation of that production capability.
- Establishing trash collection points.
- Waste disposal sites.

- Sewage treatment solutions.
- Retaining walls for flood prevention.
- Dumpsters.
- Public latrines.
- Water studies, including watershed studies.
- Water Testing.

OTHER URGENT HUMANITARIAN OR RECONSTRUCTION PROJECTS

1-27. Projects to repair collateral damage not otherwise payable because of combat exclusions or condolence payments. For other urgent humanitarian projects, this category should be used only when no other category is applicable. Under extraordinary circumstances, units can purchase the below items for immediate distribution (within 30 days) to meet the urgent, humanitarian needs of the local populace. Stock-piling of humanitarian assistance (HA) supplies is not authorized.

Note: CERP-funded humanitarian assistance should only be at the written request of United Nations (UN) aid organizations. It will only be used for the indigenous populace and not for other countries seeking refuge. This type of assistance should be the exception, not the norm.

- Tents.
- Tarps, plastic sheeting.
- Blankets.
- Clothes, shoes/boots, winter coats/gloves.
- Hygiene kits.
- Food (e.g., rice, beans, salt, sugar, tea, cooking oil).
- Stoves.
- Wood for stoves.
- Coal / charcoal.
- Refreshments for a conference in support of a CERP project. Prior to the start of a CERP project, it is customary for U.S. or multinational forces to have a conference/meeting to identify the project and work out any specifics (e.g., location and land agreements, security, labor, and sustainment). Also, during construction, additional conferences are customary to work through any issues that may arise. The category for the conference will be the same as the category of the specific CERP project(s) discussed at the conference.

Note: The intent of the conference must be in support of a specified CERP project(s). The category for the meeting will be consistent with the subject of the specific CERP project(s).

PROGRAM RESTRICTIONS

- 1-28. Appropriated funds made available for CERP *shall not* be used for the following purposes:
- Direct or indirect benefit to U.S., multinational, or supporting military personnel.
 - Providing goods, services, or funds to national armies, National Guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police, or intelligence or other security forces (except contract guards).
 - Weapons buy-back programs or other purchases of firearms or ammunition, except as authorized by law and separate implementing guidance.
 - Entertainment (except light refreshment costs purely incidental to either an approved CERP project opening ceremony or a conference in support of a CERP project).
 - Reward programs.
 - Removal of unexploded ordnance (unless incidental to construction or an agricultural development project).

- Duplication of services available through municipal governments.
- Salaries, bonuses, or pensions for host nation military or civilian government personnel.
- Training, equipping, or operating costs of host nation security forces.
- Conducting military information support operations (MISO), information operations, or other U.S., multinational, or host nation Security Force operations.
- Support to individuals or private businesses (except for condolence, former detainee, hero or battle damage payments as well as micro-grants).

Note: The above categories are IAW the DoDFMR 7000.14-R, Volume 12, Chapter 27, which is subject to change by OSD. These categories are accurate as of the publication of this manual. Ensure consistency with current DoDFMR.

REPORTING REQUIREMENTS

1-29. Pursuant to DoD Directive 5101.1, “DoD Executive Agent,” dated September 3, 2002, the Secretary of the Army shall serve as executive agent for the CERP, and in that capacity shall forward quarterly reports to Congress and shall promulgate through the responsible combatant commander and designated forward commands, detailed procedures as necessary for commanders to carry out the CERP in a manner consistent with applicable laws, regulations, and DoDFMR 7000.14-R, Volume 12, Chapter 27. These procedures shall include rules for expending CERP funds through contracts and grants.

1-30. Because of this directive, CERP projects need to be properly documented and continually monitored and maintained from project identification to project closure and turnover in the civil information management (CIM) process, to include the uploading of complete project files. The CIM process uploads the required data into the civil information grid (CIG). All CERP funds must be properly accounted for and reported accurately to higher headquarters.

1-31. The overall success of CERP reporting is a central reporting database with checks and balances. The three main systems that track CERP information are the CIM system of record, the CERP Reviewing/Reporting Toolset (CRRT), and the General Funds Enterprise Business System (GFEBS). The CIM system of record is the database used to document and track all CERP projects within the Theater of Operations. GFEBS is the system that tracks commitments, obligations, and disbursements. The CRRT meets the Under Secretary of Defense – Comptroller’s (USD(C)’s) revised reporting guidance by consolidating financial information and project data.

1-32. The CIM system of record tracks project performance, provides all users an accurate status of current projects throughout the theater, provides a historical project file, and enables strategic and operational planning for current and future operations. Data generated from this system is also used by other government organizations GOs and NGOs to synchronize projects, ensuring there is no duplication of effort and the needs of the local populace are met. The S-9/G-9 should review all Civil Affairs Operations (CAO) projects to ensure the project is accurately and thoroughly reported by the submitting unit. The S-9/G-9 will ensure that all CAO projects submitted support the commander's intent and his civil-military operations plan. The S-9/G-9 will then submit the projects to the civil information management cell (CIM) within the civil-military operations center (CMOC) for the purpose of updating and fusing of the civil information within the supported command.

THEATER POLICY CONSIDERATIONS

1-33. Since this ATP is used as a doctrinal base, it does not contain specific policies that are prevalent in existing theater SOPs or handbooks. Therefore, Theater Commanders must address the following policies in order to implement the CERP within a specific theater:

- The need for a comprehensive baseline assessment as a justification criterion.
- General monetary threshold of the following projects or payments (anything above the established threshold should be subject to higher levels of approval):
 - General CERP projects.

- Rule of law projects.
- Micro-grants.
- HA Yard Replenishments.
- HA Yard Requests.
- Community Defense Initiative, Commander's Small-Scale Projects, and other initiatives.
- Bulk funding limit (per echelon).
- Special Payments (Condolence, Battle Damage, Former Detainee, and Hero Payments).
- Additional funding approvals for in-progress projects and percentage increase thresholds.
- Validation requirements for special payments (i.e., providing pictures or an address of the payee to verify legitimacy and to prevent fraudulent payments).
- Threshold amount for requirement for a commander's justification.
- Procedures and threshold for legal reviews (i.e., systematic review in CIM system of record vs. memorandum format).
- Appointing authorities for accountable positions within the CERP: Project Manager (PM), Project Purchasing Officer (PPO), Pay Agent (PA).
- Delegation authority/threshold for approval.
- Frequency, method, and format of reports.
- Physical project file/financial system reconciliation procedures.
- Frequency and method of S-9/G-9 and G-8 staff assistance visit (SAV).
- PPO contracting thresholds.
- Host nation capacity in planning/execution of projects (e.g., amount of host nation engineers that must be involved in the planning/execution of projects, alignment of the commander and his staff with appropriate host nation government officials).
- Threshold for requirement of sustainability MOA with local government (should be determined and agreed upon prior to money being obligated).
- PM/PPO project volume threshold.
- Validation requirements for payments to contractors working on projects as they are completed IAW measures of performance and measures of effectiveness established for each project.
- Evaluation of CERP leaders based on delivery of desired effects, not money spent.
- Feasibility of cost-share agreements (e.g., U.S. will fund 75% of a project if host nation or local government funds 25%).
- Policies that mitigate risk associated with misinterpretation of signatory documents (e.g., contracts, memorandums of agreement) signed by host nation officials or local government leaders (e.g., feasibility of signing with thumb prints, translation of documents, host nation government co-signatory).
- Policies that mitigate risk associated with the employment of minors (due to misidentification).

Chapter 2

Personnel

This chapter describes roles, responsibilities, and the administrative preparation of personnel who will execute the program. This chapter lays the foundation for all participants to understand the responsibilities of each member and the uniqueness of their roles. It also outlines the requirements to appoint the Departmental Accountable Officials and Certifying Officers who are involved in the program. These appointments are required prior to program execution.

SECTION I – ROLES AND RESPONSIBILITIES

COMMANDER

2-1. Commanders have oversight over CERP within their AOR and *coordinate, identify, and approve CERP projects* or payments for subordinate units. They ensure proper management, reporting, and fiscal controls are in place to account for CERP funding. Commanders also appoint PMs, PPOs, and PAs to execute CERP. Commanders must ensure that the PMs, PPOs, and PAs are not over-extended and duties are commensurate with their skill set and that every PA entrusted with CERP funds is provided a vault, safe, or other adequate secured facility for his exclusive use. Commanders ensure that local, national, donor nation, NGOs, or other aid or reconstruction resources are not reasonably available before any CERP funds are used and are responsible for determining the appropriate allocation of CERP funds amongst subordinate commands. At least annually, they publish the Commander's CERP Guidance, which illustrates priorities for humanitarian assistance within their AOR. Lastly, they review and submit CERP reports through the chain of command to the Secretary of the Army to ensure that the commanders' use of CERP funds are consistent with the intent of the program, maximize the benefits to the local population, and best influence conditions on the ground.

ASSISTANT CHIEF OF STAFF, CIVIL AFFAIRS (CA) OPERATIONS (G-9)

2-2. The G-9 is the principal and coordinating staff officer for synchronizing civil affairs operations (CAO) and integrating civil military operations (CMO) in relation to CERP requirements. The G-9 conducts the initial assessment during mission analysis that determines CA force augmentation requirements. The G-9 coordinates with supporting CA forces and the civil-military operation center (CMOC) to conduct interagency collaborative planning/coordination and integration of nonmilitary stakeholders with the staff to synchronize operations. The civil affairs planning team (CAPT) augments and supports the G-9 staffs at division and higher levels to assist in this process. The G-9 staff provides direction and staff oversight of the supporting CA unit during CERP execution. He develops guidance for his unit on how to appropriately manage CERP projects from nomination to closure and possible transfer to the host nation government. He advises the commander on the prioritization and monitoring of expenditures of allocated Overseas Humanitarian Disaster and Civic Aid (OHDACA), CERP, payroll, and other funds and develops tangible performance metrics to measure effectiveness of projects dedicated to CAO objectives. The G-9 facilitates a CERP Review Board (chaired by the Executive Officer (XO)/Chief of Staff (CoS), which validates and prioritizes CERP Projects that require the commander's approval. The G-9 ensures subordinate units understand the movement, security, and control of funds and coordinates with the G-8 to meet the commander's objectives. The G-9 has overall responsibility to review and submit an accurate cumulative Project Status Report monthly and quarterly as required by the DoDFMR 7000.14-

R, Volume 12, Chapter 27. If the unit does not have an assigned CAO staff officer, the commander may assign these responsibilities to another staff member.

CERP MANAGER

2-3. The CERP Manager *administratively assists the G-9 with CERP requirements*. A CERP Manager is required for every battalion-level U.S. commander and above who participates in the CERP, and the management of the CERP should be this individual's primary duty. The CERP Manager provides liaison between the subordinate units and higher headquarters in relation to all CERP projects executed under his commander's authority by ensuring consistency between subordinate CERP Managers, identifying timelines for program updates, and routinely conducting SAVs. The CERP Manager ensures that CERP projects are in accordance with CERP guidelines outlined in DoDFMR 7000.14-R, Volume 12, Chapter 27 and assists the G9/S9 in coordinating CERP requirements through the unit's functional staff and with higher level command. The CERP Manager manages the unit's CERP budget, ensures that the unit's commitments and obligations do not exceed allocated funding and validates that the funds committed and obligated are only for projects for which they were approved. He conducts routine CERP refresher training for all appointed PMs, PPOs, and PAs and coordinates with supporting staff. The CERP Manager provides PMs with sufficient time to manage projects from project design, validation, and execution through sustainment and periodically reviews a sample of completed projects listed on the CRRT and reconciles them with the project files in the CIM system of record.

ASSISTANT CHIEF OF STAFF, FINANCIAL MANAGEMENT (G-8)

2-4. The G-8 *provides financial oversight, certifies the availability of CERP funds and ensures fiscal controls are in place*. The most common level at which CERP funds are certified are at the Division G-8. The G-8 monitors unliquidated obligations to ensure 100% disbursement and/or the de-obligation of unexecuted funds in order to maximize use of funding, maintain an accurate accounting system and routinely provide CERP funding requirement estimates (spend plans). The G-8 is responsible for updating the financial information of each project into the CRRT and coordinates with subordinate units to determine specific CERP funding requirements. The G-8 develops annual CERP funding requirements based on input and the commander's guidance. He routinely conducts SAVs with subordinate units and provides guidance on the fiscal prudence of CERP projects and coordinates data calls for overall CERP requirements to build spend plans and localized budgets. He requests funding on a quarterly basis, or as needed, and receives annual program authority and funding from higher headquarters. The G-8 coordinates with higher headquarters for additional program authority if required and develops recommended funds distribution plan based on funding requirements identified by subordinate commanders. He distributes funding to subordinate G-8s, following the funds distribution plan as closely as possible and evaluates funds execution prior to distributing funds increases.

ENGINEER

2-5. The Engineer is the reconstruction functional program manager *responsible for coordinating reconstruction efforts, status reporting, and planning*. He has access to reachback capabilities through the U.S. Army Corps of Engineers that can assist in researching technical solutions that are beyond the capacities of embedded engineer units and staff members. Within the context of the unit CERP, the staff engineer can be expected to assist with engineering assessments of indigenous infrastructure systems and public services, identify options and potential engineering solutions to infrastructure-related issues, and prepare and/or review the project's statement of work (SOW). The engineer assists in conducting quality control and quality assurance inspections of completed work and reviews the design schematics for horizontal and vertical construction projects submitted to the CERP Review Board to ensure technical sufficiency and the adherence to international building standards. The Engineer coordinates with the host nation government to build host country capacity in project planning and execution, as necessary.

DEPUTY DISBURSING OFFICER (DDO)/DISBURSING AGENT (DA)

2-6. The disbursing officer (DO) holds an account with the US Treasury and is responsible for all the government funds (cash and negotiable instruments) within a specific area of responsibility. He appoints DDOs and DAs, who are responsible for *training, funding, and clearing PAs*. The DO and his agents are charged with complying with existing FMRs, policies, and procedures regarding the management of these funds. The DDO/DA makes Electronic Funds Transfer (EFT) or Limited Depositary Checking Account (LDA) payments to vendors at the request of the PPO or Contracting Officer.

CONTRACTING OFFICER

2-7. The contracting officer is the government official (military or DA civilian) with the legal authority to enter into, administer, and/or terminate contracts within a designated support area. Contracting officers are responsible for *training, appointing, and clearing PPOs*. They also train PMs as contracting officer representatives (CORs). Because contracting officers receive in-depth training on contracting procedures, they are responsible for assisting and ensuring PPO actions comply with contract law, executive orders, regulations, and other applicable procedures.

STAFF JUDGE ADVOCATE (SJA)

2-8. The SJA *advises the Commander and staff on matters of law* (including contract and fiscal law). The SJA is an accessible source and wealth of information with whom the G-8 interacts routinely. SJAs conduct legal reviews, which are an important component of any requirements packet. Though the SJA opinion does not grant relief from a potential Anti-Deficiency Act (ADA) violation, they are nonetheless invaluable in navigating the maze of fiscal law. As a member of the Brigade Combat Team commander's special staff, the specific duties of the brigade SJA will be dictated by the command and unit standing operating procedures. The brigade SJA can be expected to review project nominations to ensure they are in compliance with established theater guidelines and orders, receive, investigate, and recommend adjudication of civilian claims for battle damage of personal property, recommend adjudication of claims for condolence payments due to civilian deaths or injuries that result from multinational operations, and propose/support CERP projects for government facilities and services necessary to enhance the indigenous rule of law capacity. Due to the increased interest in the CERP and the importance of CERP in the execution of our counterinsurgency strategy, legal reviews are required for all CERP projects, micro-grants, and humanitarian assistance requests. Depending on local policy, legal reviews can be documented by a SJA's signature, duty position, and date, on the report in the CIM system of record or in a memorandum format and uploaded to the CIM system of record. Legal counsel can be provided via phone to the commander in the field; however, a formal review must be accomplished, at the earliest date possible. Condolence, battle damage, former detainee & Afghan hero payments do not require a legal review. However, all claims must be reviewed by a U.S. DoD attorney in order to determine whether CERP, Solatia, or Foreign Claims funds will be used for payment.

PROJECT MANAGER (PM)

2-9. The PM *monitors and accepts construction projects* performed by a vendor. The PM is trained by the Contracting Officer as a COR to perform these duties. Because of this, the PM cannot also be appointed as a PA, handle physical cash, or make payments to vendors. Project Management will be a primary duty of the individual appointed and their supervisor will ensure the evaluation reports properly reflect project management duties and responsibilities. The PM manages the project from nomination to completion, updating the CIM system of record as changes occur within the project's timeline, closing out active projects appropriately, and maintaining the project file in accordance with local SOP. He conducts regular site visits. Upon arrival in theater, PMs conduct a "right-seat-ride" with the re-deploying PM to foster continuity, practical skill set, knowledge development, and proper project turnover.

PROJECT PURCHASING OFFICER (PPO)

2-10. The PPO *performs some of the duties of the Contracting Officer at the unit level*. The PPO is a USG employee who is trained by the Contracting Officer to make contracts in limited scope with local vendors and places orders for goods or services and whose contracting threshold is determined by theater contracting policies. PPOs are individuals whose regular duties do not involve contracting functions and who are not organizationally located in a contracting office. They are appointed to the position of PPO as a collateral duty and will be under the technical supervision of the Contracting Officer in all matters concerning the administration of contracts with vendors. The PPO is paired with a PA in order to maintain separation of duties. Because of this, the PPO cannot be appointed as a PA, handle physical cash, make payments to vendors, or hold other accountable positions such as property book officer (PBO) or property accountability officer. The PPO, however, may also be a PM. The PPO ordinarily interfaces with the G-8 and the Contracting Officer on a routine basis.

PAY AGENT (PA)

2-11. The PA is an *extension of the DO at the unit level*. The PA is an individual who is trained by the DDO/DA to *account for government funds and make payments* in relatively small amounts to local vendors. PAs are individuals whose regular duties do not involve disbursing functions and who are not organizationally located in an FM disbursing office. They are appointed to the position of PA as a collateral duty and will be under the exclusive supervision of the DDO/DA in all matters concerning custody and disposition of funds advanced to them. As mentioned above, the PA is paired with an PPO and cannot be appointed as an PPO, order or request (i.e., contract for) goods or services, or hold other accountable positions such as PBO or property accountability officer or PM. Most importantly, the PA will not make payments without the express authorization from the PPO. The PA interacts with the DDO/DA on a routine basis.

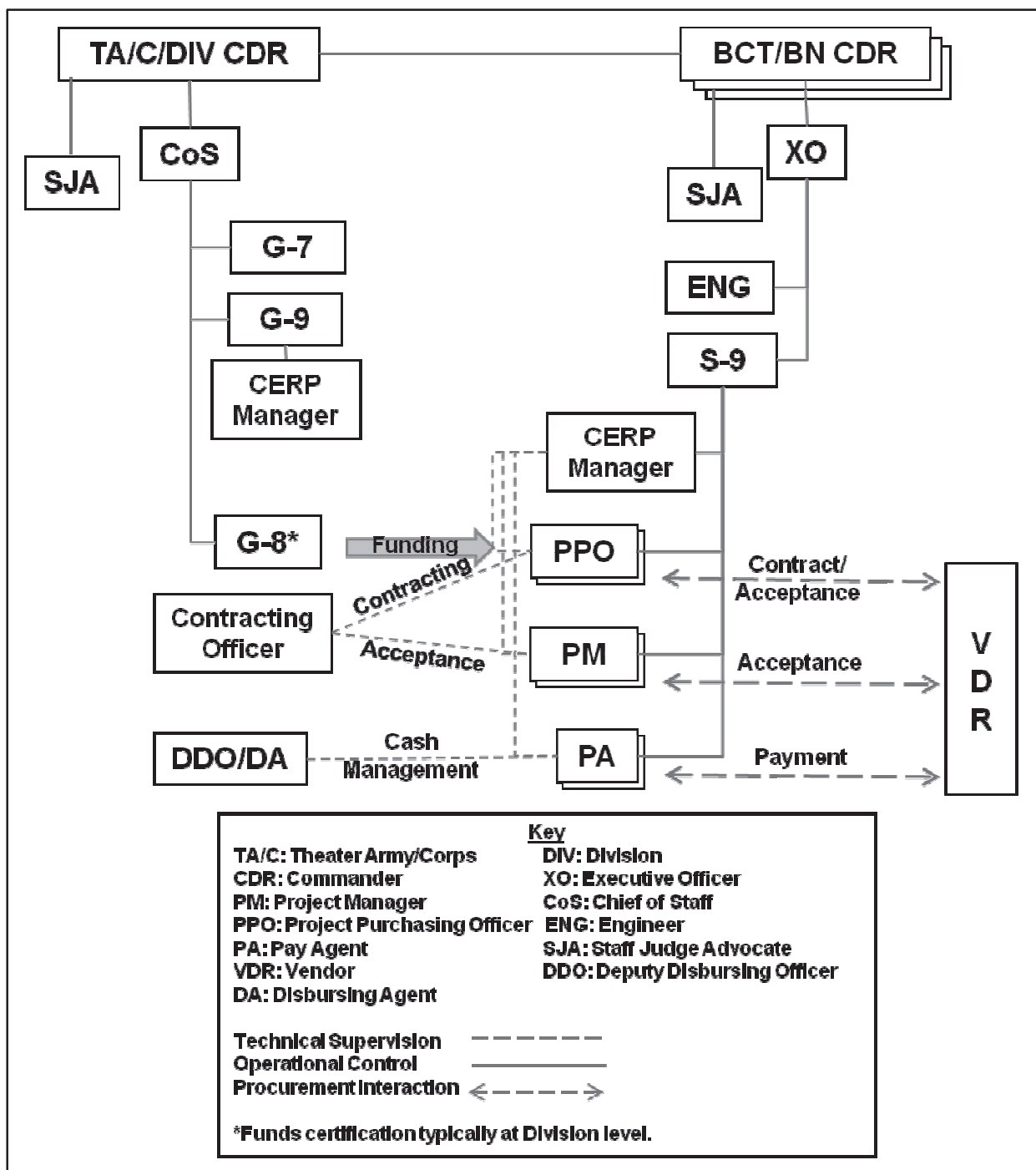


Figure 2-1. CERP relationships

SECTION II – ADMINISTRATIVE PREPARATION

2-12. HQDA EXORD 048-10 requires Army units to identify commanders, PMs, PPOs, and PAs no later than 180 days prior to their arrival dates in theater, with individual training completed no later than 90 days prior to the arrival date. DoD memo “Commander’s Emergency Response Program (CERP) Training Standards” dated 2 November 2011, requires all unit personnel with CERP responsibilities (Commanders, CERP Managers, PMs, PPOs, PAs, SJAs, financial managers, and engineers) to complete the CERP Foundation Course, offered on-line via Army Learning Management System (ALMS). The following

personnel need to receive nominations, appointments, and/or training in order to perform duties in the CERP:

CERP MANAGER

2-13. The CERP Manager:

- Must receive appointment orders by the commander as a primary duty.
- Must hold a rank consistent with theater policy requirement

PROJECT MANAGER

2-14. The Project Manager:

- Must be a USG employee.
- Must receive nomination by the commander in writing and not be appointed as a CERP Manager or PA.
- Must receive training and appointment orders from the Contracting Officer as a COR.
- Must hold a rank consistent with theater policy requirement and must know the technical aspects of assigned projects (i.e., if performing COR duties on a construction project, must be an engineer by trade).

PROJECT PURCHASING OFFICER

2-15. The Project Purchasing Officer:

- Must be a USG employee.
- Must receive nomination by the commander in writing and not be appointed as a CERP Manager or PA.
- Must receive training and appointment orders from the Contracting Officer as a PPO.
- Must hold a rank consistent with theater policy requirement
- Must receive appointment by the commander as a Certifying Officer on a DD Form 577, *Appointment/Termination Record-Authorized Signature*.
- Must receive Certifying Officer Legislation training (refer to DoDFMR 7000.14-R, Volume 5, Chapter 33).

Note: The PPO will be appointed as a Certifying Officer *only* for special payments (e.g., condolence, battle damage, hero, former detainee) and micro-grants. The PPO will *not* certify any payments on contracts or micro-purchases that they make (individually-funded and bulk-funded). PPOs may be held pecuniarily liable for special payments or micro-grants that they certify that are not appropriate with CERP funds. See Appendix B for more details.

PAY AGENT

2-16. The Pay Agent:

- Is usually a USG employee, however defense policies may allow for multinational members.
- Must receive appointment by the commander on a DD Form 577, *Appointment/Termination Record-Authorized Signature* and not be appointed as a CERP Manager, PM or PPO.
- Must receive training by the DDO/DA.
- Must hold a rank consistent with theater policy requirement

Chapter 3

Process Overview

This chapter provides a general overview of each of the processes associated with a CERP requirement. It describes the different methods for funding a CERP requirement and the stages that each method undergoes. This assists participants in understanding the timing of specific tasks. Detailed individual tasks within these processes are explained in Appendices A-D and are organized by personnel who manage and execute CERP. Appendix E contains the respective documents to appoint the personnel along with the forms they utilize in managing CERP.

SECTION I – INDIVIDUALLY-FUNDED REQUIREMENTS

3-1. This process is appropriate when a requirement is well-defined and scoped. The advantage is that it allows the commander to justify purchases of a larger scale. The disadvantage is that it must be properly vetted in accordance with local approval procedures, which may take time, depending on the approval thresholds in place. This process calls for justification of the purchase to the G-8 before certification of funds availability. Additionally, the necessity to use a Contracting Officer instead of the PPO to contract for the goods or services is also determined by prevalent contracting thresholds.

ASSESSMENT/COORDINATION/NOMINATION

3-2. Commanders in conjunction with their CA staff officer coordinate and determine project needs to gain the greatest effect, ensure effect synchronization and provide for documented host nation project acceptance with follow-on project maintenance and/or sustainment while seeking to meet urgent humanitarian and reconstruction needs. To accomplish this, they coordinate with local officials and U.S. and foreign governmental and nongovernmental agencies that operate in their AOR to prevent duplication of efforts and resources.

3-3. Once the project has been identified and coordinated by the commander and G-9, the CERP Manager assigns the project to a PPO and/or PM.

Note: The individual (PPO or PM) responsible for accepting the goods or services for a particular project is also responsible for initiating and managing the project's documentation, updating the CIM system of record with project information, monitoring financial status in the CRRT, responding to requests for information from higher headquarters (including Army Central (ARCENT), Central Command (CENTCOM), Joint Staff, Army Budget Office (ABO), and OSD) via the CRRT, and maintaining files for the project from nomination until closure.

APPROVAL

3-4. Once the project documentation has received concurrence or action from the required functional staff, the CERP Manager reviews the packet for completeness, ensures it is entered into the CIM system of record and will display in the CRRT, and ideally facilitates a Review Board as part of the approval process (the commander approves/disapproves projects in this forum). For projects that require a higher level of approval, the nomination packet must be sent to the next higher-level CERP Manager for review, coordination and/or approval. This process is mirrored at each level until the proper approval authority has approved or disapproved the project.

FUNDING

3-5. In order to obtain funding from the higher command's G-8, the commander must have a list of validated, critical requirements that have been approved, staffed and are ready to execute. After the appropriate level of approval, the PPO uploads the commander's approval documents into the CIM system of record and forwards the packet to the PPO, who sends the requirements packet to the G-8 for certification of funds availability. The G-8 assigns a document reference number and certifies the DA Form 3953, PR&C by completing blocks 19-22, which includes the assignment of a line of accounting (LOA), and committing the funds in the accounting system.

3-6. Once the DA Form 3953, PR&C has been certified, the G-8 returns the packet to the PPO, who forwards a copy of the approved and funded requirements packet to the CERP Manager. The PPO or PM uploads the certified DA Form 3953, PR&C into the CIM system of record and annotates the project as "In Progress." The PPO also forwards a copy of the DA Form 3953, PR&C to the PA, who uses the document to draw cash from the DDO/DA.

EXECUTION/MONITORING/EVALUATION

3-7. With a funded requirements packet, the PPO/Contracting Officer begins the process of seeking bids and awarding the contract. Once the contract is awarded, the PPO sends a copy of the final contract to the G-8 for obligation of funds. The G-8 updates GFEBs with obligation information. The PPO/PM maintains a copy of the final contract.

3-8. The PPO/PM monitors and evaluates the progress of the project until completion and monitors the CRRT to ensure the project data and associated financial data display properly through completion. The PPO/PM consolidates all documents generated during the project. All required documents listed on the CERP project file checklist must be forwarded to the CERP Manager to be included in the official project file and the PPO/PM uploads the documents to the CIM system of record as the project progresses.

ACCEPTANCE/PAYMENT

3-9. Before payment can be made, the vendor must deliver goods or services as outlined in the contract and submit an invoice to the Contracting Officer/PPO/PM. Once goods or services are accepted, payment must be made in accordance with the contract terms. Options available for payment are EFT, check, and cash (US or foreign). All EFT payments are made by the DDO/DA and must be requested by the Contracting Officer/PPO/PM. If EFT option is unavailable, the DDO/DA or PA (depending on the amount of the payment) may make the payment in cash.

3-10. If the Contracting Officer executed the contract, payment is usually made by the DDO/DA. If the PPO executed the contract, payment is usually made by the PA.

CLEARANCE/CLOSURE/TURNOVER

CLEARANCE

3-11. In order to clear the project, the PA first clears with the DDO/DA and furnishes copies of these clearance documents to the PPO. With the PA's clearance documents, the PPO drafts a commander's clearance memorandum and clears with the commander. Finally, the PPO clears with the G-8 with all the documents associated with a project.

CLOSURE

3-12. Upon project closure, the PPO submits all project documents to the CERP Manager, who obtains a clearance memorandum from the CDR. The PPO/PM adds the commander's clearance memorandum to the project file and uploads it to the CIM system of record. The PPO then submits the completed project file to the G-8 for review and reconciliation. The PPO is responsible for making corrections or providing

memorandums explaining lost or illegible documents. If this situation occurs, the documents must be endorsed by the approving commander.

3-13. After receiving all the required project documentation, the G-8 reconciles accounts in the accounting system and monitors the CRRT until all final obligation and payment information is accurately reflected. The G-8 maintains documents on file for future review or audit. Once the project has been completed, terminated, or cancelled, all bills paid, and the PPO and PA have cleared, the PPO provides all documents to the CERP Manager, who maintains the files.

TURNOVER

3-14. The PPO/PM closes projects in the CIM system of record that are turned over to local authorities, changes the “Project Status” field to “Completed”, and completes the “Project Closure” section. If funds were de-obligated, then the “Amount Allocated” field in the CIM system of record should be updated.

FLOWCHART

3-15. The process for individually-funded CERP requirements is depicted in figure 3-1 below (vertical arrows depict chronological sequence; horizontal arrows depict actions performed by specific individuals in the process).

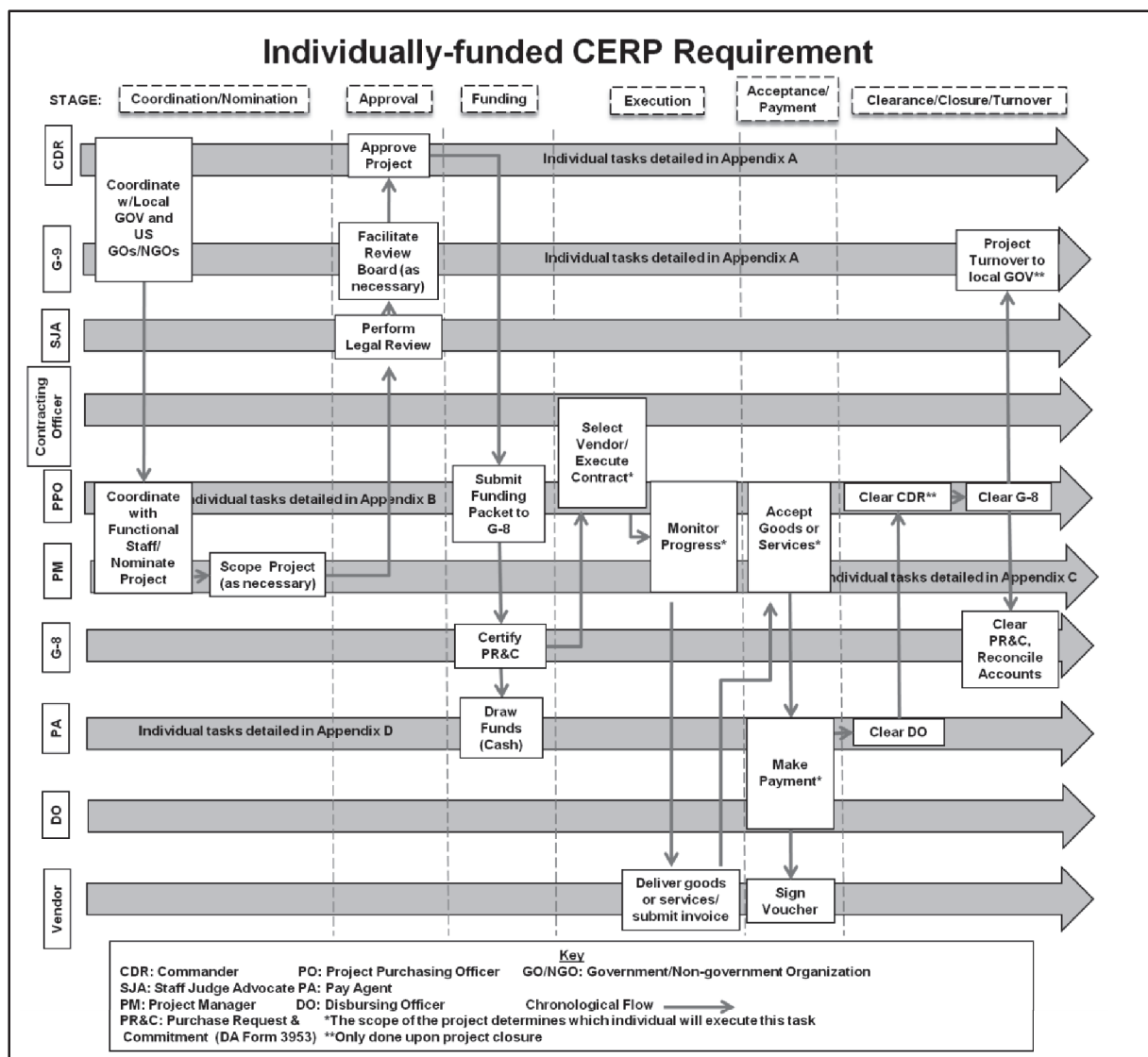


Figure 3-1. Individually-funded CERP requirement flowchart

SECTION II – BULK-FUNDED REQUIREMENTS

3-16. This process is appropriate for requirements of a relatively smaller scale. The advantage is that it allows the commander to have funds on hand, ready to make purchases when he identifies a requirement. The disadvantage is that he is limited in the amount of the purchase. The commander may have a bulk fund account in addition to individually-funded requirements. Theater approval thresholds may limit the suitability of this method of funding, since they are usually much lower than that of the individually-funded process. The most notable difference with this process is that certification of funds availability by the G-8 comes before the approval of purchases. Additionally, goods or services that are bulk-funded must be received in whole by the time allotted to clear the bulk funds from the G-8. This generally limits bulk-funded requirements to goods, special payments (see Section III below), or short-term services. As a result of the above limitations, the commander should bulk-fund those requirements that meet these criteria and seek funding for larger, individual requirements.

FUNDING

3-17. The PPO initiates the bulk-fund packet and forwards the documentation to the CERP Manager for review. The CERP Manager routes the packet for the commander's approval. Once the commander approves the DA Form 3953, PR&C, the PPO forwards the bulk fund packet to the G-8 who certifies if funds are available or attempts to acquire funds. The G-8 certifies the DA Form 3953, PR&C by completing blocks 19-22, which includes the assignment of a LOA. The G-8 assigns a document reference number, updates GFEBS with commitment information and returns the packet to the PPO. The PPO also forwards a copy of the DA Form 3953, PR&C to the PA who then draws cash from the DDO/DA.

ASSESSMENT/COORDINATION/NOMINATION

3-18. Commanders, in conjunction with their CERP Managers, coordinate and determine project needs to gain the greatest effect, ensure the synchronization of effects and provide for documented host nation project acceptance with follow-on project maintenance and/or sustainment while seeking to meet urgent humanitarian and reconstruction needs. To accomplish this, they coordinate with local officials and U.S. and foreign governmental and nongovernmental agencies that operate in their AOR to prevent duplication of efforts and resources. Once projects have been identified and coordinated by the commander and G-9, the PPO coordinates with other functional staff to nominate projects.

APPROVAL

3-19. Once individual projects have received concurrence or action from the required functional staff, the CERP Manager reviews the requirements for completeness, and the G-9 ideally facilitates a Review Board as part of the approval process (this is the same Review Board as mentioned for individually-funded requirements in paragraph 3-4, in which the commander approves or disapproves projects or payments). The commander signs an approval memorandum for each of the projects within a bulk fund.

EXECUTION

3-20. With funding available, and projects approved and prioritized, the commander bulk-funds those projects that meet the monetary criteria, in the order that they appear on the unfinanced requirements (UFR) list prepared by the Review Board. The PPO then begins the process of seeking bids and awarding the contracts on the bulk fund and monitors the progress of bulk fund projects until completion.

ACCEPTANCE/PAYMENT

3-21. Before payment can be made, the vendor must deliver goods or services as outlined in the contract and submit an invoice to the PPO. Once goods or services are accepted, the PA makes payment in accordance with the contract terms. Usually, a Standard Form 44 (SF44) is used as the invoice, receipt, and acceptance document. The PPO places identifying GFEBS reference numbers on the SF44s and then enters the numbers with the corresponding project data in the CIM system of record such that each individual project of the bulk fund is displayed as a separate line entry (with the correct financial data) in the CRRT. PPOs shall ensure that all costs (i.e., all SF44s) for the same project receive the same identifying reference number.

CLEARANCE/CLOSURE/TURNOVER

CLEARANCE

3-22. In order to clear the project, the PA first clears with the DDO/DA and furnishes copies of these clearance documents to the PPO. With the PA's clearance documents, the PPO drafts a commander's clearance memorandum for each project and clears with the commander. Finally, the PPO clears with the G-8 with all the documents associated with a project.

CLOSURE

3-23. Upon project closure, the PPO submits all project documents to the CERP Manager, who obtains clearance memorandums for each project from the commander. The PPO adds the commander's clearance memorandum to the project file and uploads it to the CIM system of record. The PPO then submits the completed project file to the G-8 for review and reconciliation. The PPO is responsible for making corrections or providing memorandums explaining lost or illegible documents. If this situation occurs, the documents must be endorsed by the approving commander.

3-24. After receiving all the required project documentation, the G-8 reconciles accounts in the accounting systems and monitors the CRRT until all final obligation and payment information is reflected accurately. The G-8 maintains documents on file for future review or audit. Once the project has been completed, terminated, or cancelled, all bills paid, and the PPO and PA have cleared, the PPO provides all documents to the CERP Manager, who maintains the files.

TURNOVER

3-25. The PPO closes projects in the CIM system of record that are turned over to local authorities, changes the "Project Status" field to "Completed", and completes the "Project Closure" section. If funds were de-obligated, then the "Amount Allocated" field in the CIM system of record should be updated.

FLOWCHART

3-26. The process for bulk-funded CERP requirements is depicted in figure 3-2 below (vertical arrows depict chronological sequence; horizontal arrows depict actions performed by specific individuals in the process).

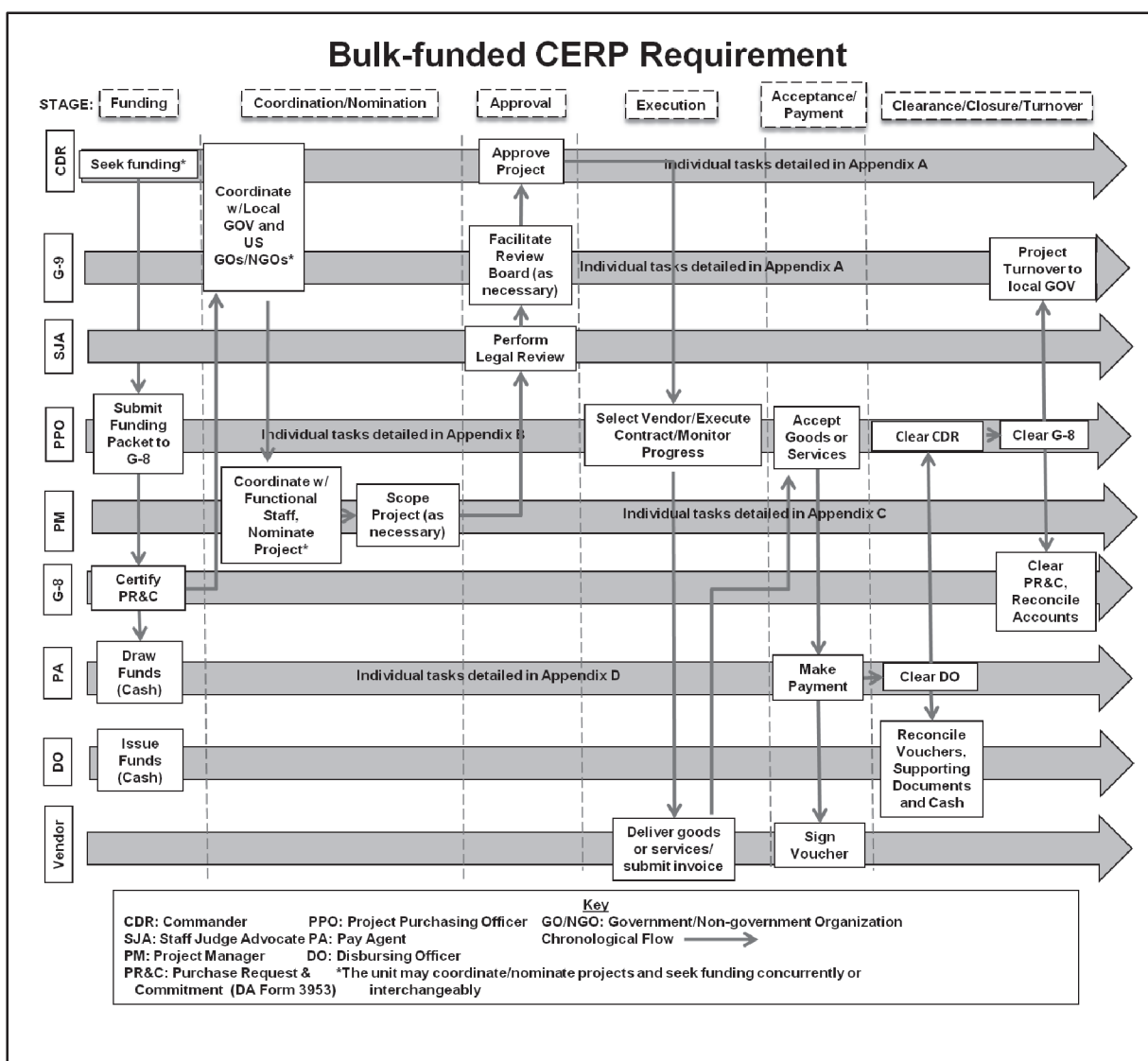


Figure 3-2. Bulk-funded CERP requirement flowchart

SECTION III – BULK-FUNDED SPECIAL PAYMENTS (CONDOLENCE, BATTLE DAMAGE, HERO, FORMER DETAINEE)

3-27. This section outlines procedures associated with special payments, such as Condolence, Battle Damage, Hero, and Former Detainee payments. They are usually made from a bulk fund and paid on a Department of Defense (DD) Form 1351-6, *Multiple Payments List*. Because they are not procurement-related, there is no acceptance of goods and services and a loss can only occur due to combat action. These payments necessitate the requirement for the PPO to be appointed as a Certifying Officer in order to certify that payments are proper with CERP funds. Certifying Officers have pecuniary liability (personal responsibility) when certifying payments made from appropriated funds.

Note: Projects to rectify battle damage may be done in lieu of making cash payments. In this case, follow the procedures for bulk or individually-funded requirements.

FUNDING

3-28. The PPO initiates the bulk-fund packet and forwards the documentation to the CERP Manager for review. The CERP Manager routes the packet for the commander's approval. Once the commander approves the DA Form 3953, PR&C, the PPO forwards the bulk fund packet to the G-8 who certifies if funds are available or attempts to acquire funds. The G-8 assigns a document reference number and certifies the DA Form 3953, PR&C by completing blocks 19-22, which includes the assignment of a LOA. The G-8 updates GFEBs with commitment information and returns the packet to the PPO. The PPO also forwards a copy of the DA Form 3953, PR&C to the PA who then draws cash from the DDO/DA.

APPROVAL

3-29. The PPO drafts an approval memorandum and routes it to the CERP Manager, who reviews it for completeness and ideally facilitates a Review Board as part of the approval process (this is the same Review Board as mentioned for individually-funded requirements in paragraph 3-4, in which the commander approves or disapproves projects or payments). Special Payments must be approved by the commander (this includes confinement facility commanders), except for certain payments which are automatically entitled (e.g., Former Detainee Payments), unless specifically *prohibited* by a commander. For payments that require a higher level of approval, the approval memorandum must be sent to the next higher-level CERP Manager for review, coordination and/or approval. This process is mirrored at each level until the proper approval authority has approved or disapproved the payment.

CERTIFICATION/PAYMENT

3-30. After the commander approves the payment, it must be certified by the PPO (this can be done on the approval memo). With funds available for the payment, the commander's approval, and the PPO's certification that the payment is proper, the PA makes payment to the individual, usually using an SF44. The PA shall number each SF44 with the appropriate GFEBs document reference number.

CLEARANCE/CLOSURE

3-31. In order to clear the project, the PA clears with the DDO/DA. The PA provides the clearance documents to the PPO, who consolidates all documents and submits them to the CERP Manager. The CERP Manager obtains a clearance memorandum from the CDR. The PPO adds the commander's clearance memorandum to the project file and uploads it to the CIM system of record. The PPO then submits the completed project file to the G-8 for review and reconciliation. The PPO is responsible for making corrections or providing memorandums explaining lost or illegible documents. If this situation occurs, the documents must be endorsed by the approving commander.

3-32. After receiving all the required project documentation, the G-8 reconciles accounts in the accounting systems and monitors the CRRT until all final obligation and payment information is reflected accurately. The G-8 maintains documents on file for future review or audit. Once the project has been completed, terminated, or cancelled, all bills paid, and the PPO and PA have cleared, the PPO provides all documents to the CERP Manager, who maintains the files.

FLOWCHART

3-33. The process for bulk-funded special payments is depicted in figure 3-3 below (vertical arrows depict chronological sequence; horizontal arrows depict actions performed by specific individuals in the process).

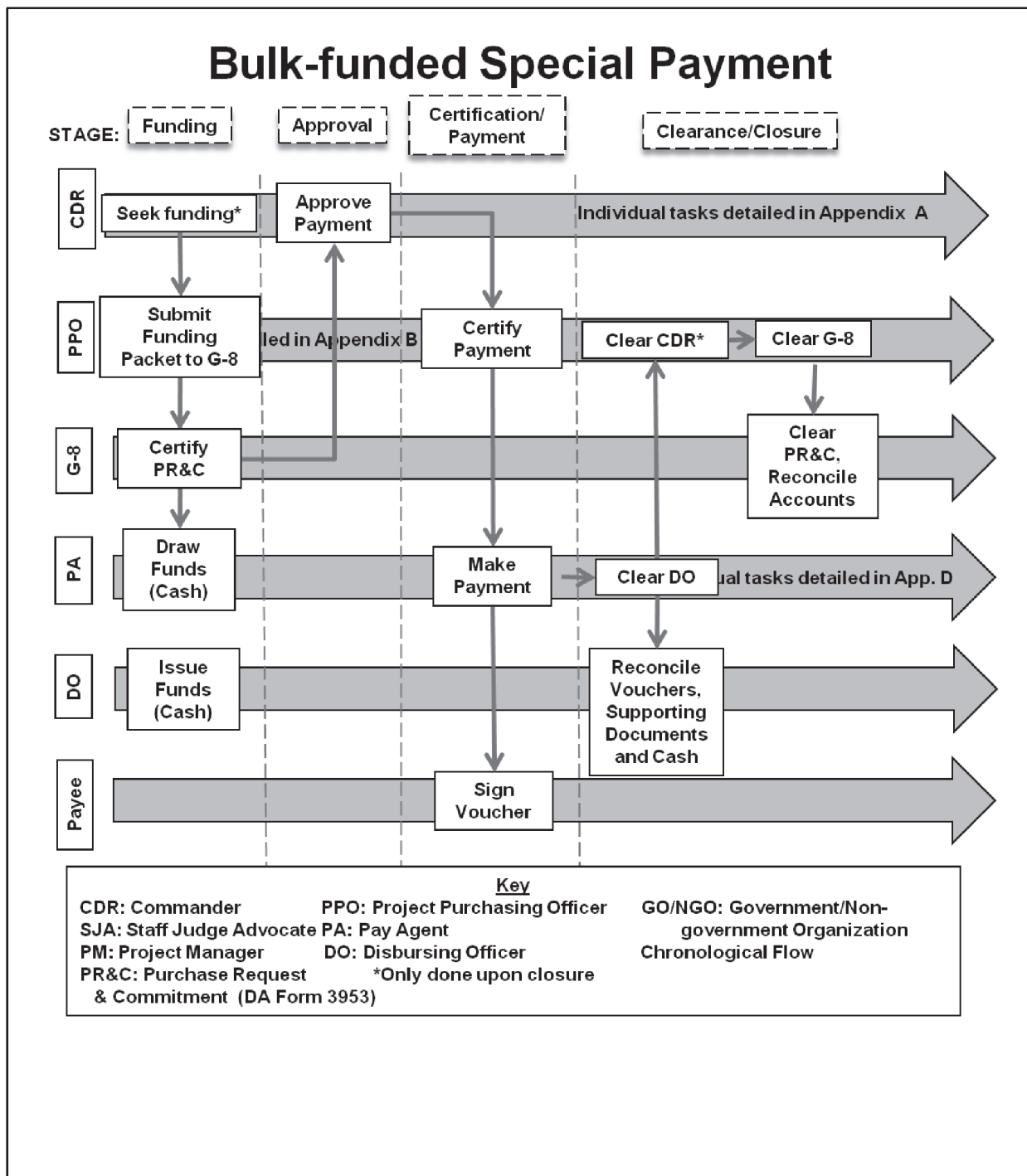


Figure 3-3. Bulk-funded special payment flowchart

SECTION IV – MICRO-GRANTS

3-34. The micro-grant program expands the flexibility of CERP and authorizes commanders to provide cash, equipment, tools, or other material support to small businesses that lack available credit or financial resources. Micro-grants must be used with strict disciplinary measures in place to ensure the economic development objectives of the command are being advanced. The intent of the program is to increase economic activity, particularly in areas where small businesses have suffered because of insurgent or

sectarian violence. Micro-grant payments are not procurement, because there is no explicit delivery or acceptance of goods or services (i.e., there is no formal contract), though the monitoring of results can determine the effectiveness of the grant and subsequent grant-making activities.

SOLICITATION/EVALUATION/NOMINATION

3-35. Commanders and CA staff officers shall maximize the use of partners through coordination in order to maximize and solicit applicants to the extent practical. Potential local partners include Provincial Development Committees, Community Development Councils, NGOs, tribal leadership, college and university officials, agricultural cooperatives, business development centers, and any other formal or informal entity supportive of efforts with sufficient outreach in their community. Final selection of grant recipients, however, remains with the commander. Regardless of the source of the applicant and recommendations for approval, only those applications proposing viable business ideas should be approved. Once a thorough solicitation has been done by the commander and G-9, the PPO coordinates with other functional staff to nominate applicants.

APPROVAL

3-36. Grants are awarded based on applications submitted by potential grantees. As the target grantees are experienced, but not large entrepreneurs, application procedures should be kept as simple as practical. Formal business plans or financial projections should not be required. Once the grants have received concurrence or action from the required functional staff, the CERP Manager reviews the packet for completeness, ensures it is entered into the CIM system of record and the CRRT, and ideally facilitates a Review Board as part of the approval process (this is the same Review Board as mentioned for individually-funded requirements in paragraph 3-4, in which the commander approves or disapproves projects or payments). For grants that require a higher level of approval, the nomination packet must be sent to the next higher-level CERP Manager for review, coordination and/or approval. This process is mirrored at each level until the appropriate approval authority has approved or disapproved the grant.

FUNDING

3-37. After the appropriate level of approval, the PPO uploads the commander's approval documents into the CIM system of record and forwards the packet to the PPO, who sends the requirements packet to the G-8 for certification of funds availability. The G-8 certifies the DA Form 3953, PR&C by completing blocks 19-22, which includes the assignment of a line of accounting (LOA), and committing the funds in the RMT accounting system. Since the G-8 will also have the approved micro-grants in the packet, he may also obligate funds at that time.

3-38. Once the DA Form 3953, PR&C has been certified, the G-8 enters a document reference number on the form, updates GFEBS with commitment information and returns the packet to the PPO, who forwards a copy of the approved and funded requirements packet to the CERP Manager. The PPO or PM uploads the certified DA Form 3953, PR&C into the CIM system of record, enters the financial document reference number, and annotates the project as "In Progress." The PPO also forwards a copy of the DA Form 3953, PR&C to the PA, who uses the document to draw cash from the DDO/DA.

CERTIFICATION/PAYMENT

3-39. After the commander approves the payment, it must be certified by the PPO. With funds available for the payment, the commander's approval, and the PPO's certification that the payment is proper, the PA makes payment to the individual.

CLEARANCE/CLOSURE

CLEARANCE

3-40. At the completion of payment, it is mandatory to clear the project to maintain visibility and accurate records. Both the PA and PPO must perform clearance tasks. In order to clear the project, the PA clears with the DDO/DA and the PPO clears with the commander and G-8.

CLOSURE

3-41. Upon project closure, the PPO submits all project documents to the CERP Manager, who obtains a clearance memorandum from the commander. The PPO/PM adds the commander's clearance memorandum to the project file and uploads it to the CIM system of record. The PPO then submits the completed project file to the G-8 for review and reconciliation. The PPO is responsible for making corrections or providing memorandums explaining lost or illegible documents. If this situation occurs, the documents must be endorsed by the approving commander.

3-42. After receiving all the required project documentation, the G-8 reconciles accounts in the accounting systems and monitors the CRRT until all final obligation and payment information is accurately reflected. The G-8 maintains documents on file for future review or audit. Once the project has been completed, terminated, or cancelled, all bills paid, and the PPO and PA have cleared, the PPO provides all documents to the CERP Manager, who maintains the files.

MONITOR ENTERPRISE

3-43. Once a grant is distributed, the progress of the supported enterprise is monitored to ensure the grant funds have been fully expended on the approved initiative. The intent is to assess the effectiveness of the grant, not to provide mentoring or other support for the enterprise. The effectiveness of prior grants should be used as a guide in subsequent grant-making activities.

3-44. All units are required to maintain records and provide financial reports. Commanders must maintain documentation that records the amount and character of each grant (e.g., a list of the equipment provided and its cost) and the commander's determination that the grant met the requirements set forth in local policy.

FLOWCHART

3-45. The process for micro-grant payments is depicted in figure 3-4 below (vertical arrows depict chronological sequence; horizontal arrows depict actions performed by specific individuals in the process).

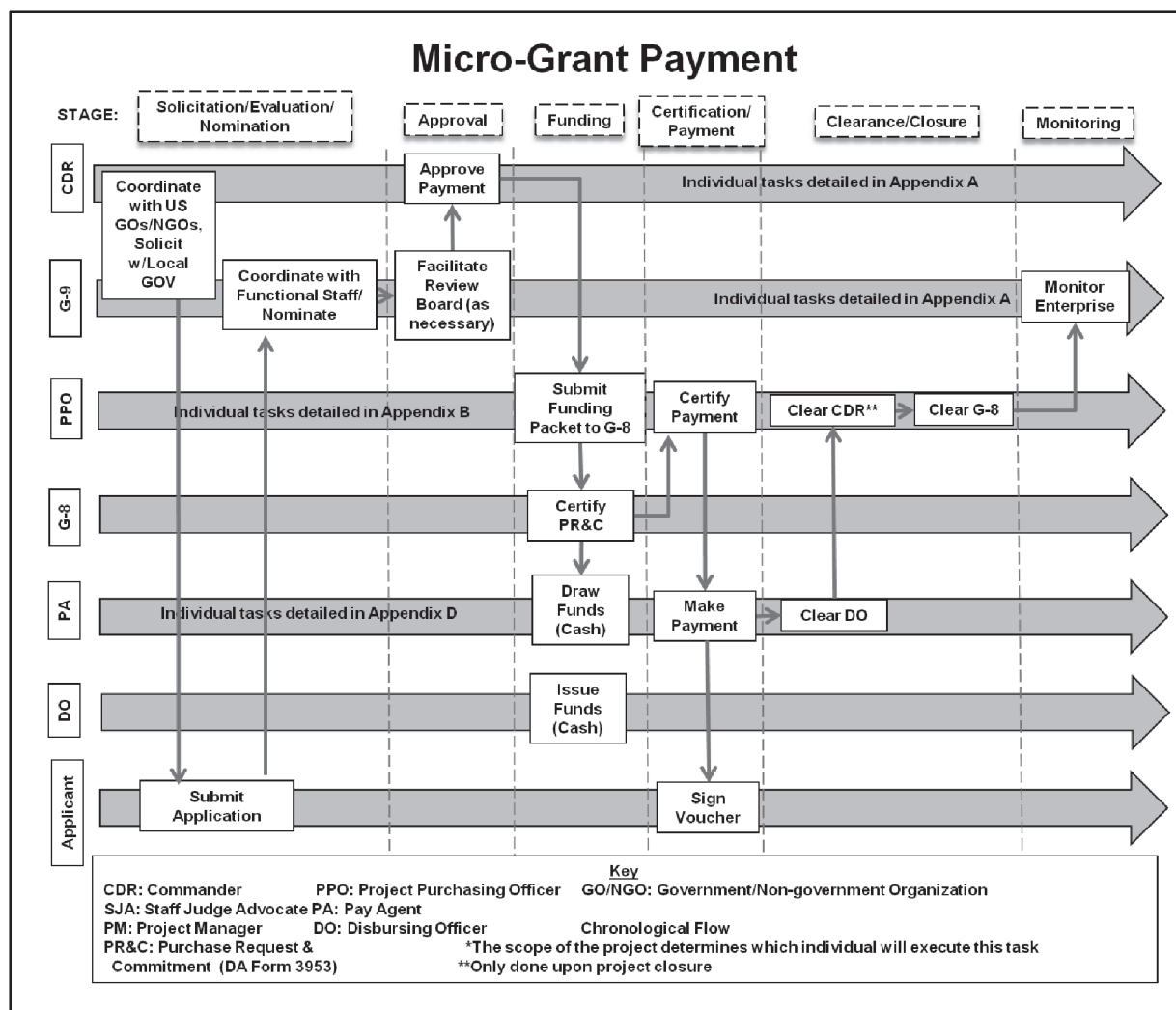


Figure 3-4. Micro-Grant payment flowchart

Chapter 4

Transfer of Authority (TOA)

This chapter provides guidance on techniques associated with the TOA between units. In order to ensure full accountability of all active CERP projects and improve program management for the lifecycle of the project, units document turnover actions.

GENERAL

4-1. Prior to a unit departing theater, the outgoing and incoming unit must complete a TOA review for all CERP projects. This includes projects in the following project status:

- Nominated – the project has been nominated by a unit, but has not yet been approved by the appropriate approval authority.
- In Progress – the project has been approved by the appropriate approval authority, the funding document has been certified, and the funds have been committed and/or obligated in GFEBS.
- Completed – the project was completed by the outgoing unit during their tour, the funds have been fully disbursed, the project has been transferred and the clearance letters have been signed and uploaded in the CIM system of record.

4-2. The unit should also include a description in the file that describes the recommended follow-on steps for the project, documenting the effects those projects had at the beginning and at the end. It also addresses whether there will be subsequent projects to continue momentum. Each project should be treated as a leg of a relay race where one unit passes the baton to the next and creates the most fertile space for a logical follow-on. Projects executed in a vacuum during the course of one tour that are not successfully transitioned become underutilized. In contrast, maybe the project should be discontinued for legitimate reasons that should be recorded in the CIM system of record so that future units do not make the same error.

4-3. The TOA review is documented using the TOA memorandum format. Once signed, this memorandum authorizes the transfer of all CERP projects listed to the incoming unit; however, this memorandum does not relieve outgoing unit personnel of any pecuniary liability or administrative or disciplinary actions for negligent or illegal CERP activities conducted during their tenure, to include theft, fraud, waste, and abuse.

DOCUMENTATION

4-4. All outgoing PMs and/or PPOs ensure that, for all projects, the necessary documentation has been updated and uploaded in the CIM system of record.

- A complete inventory of the project files should be conducted no later than 30 days prior to the arrival of the incoming unit. The inventory continues to be updated as new projects are added. The outgoing unit will ensure that all files are present and complete. Any deficiencies should be identified and corrected prior to the incoming unit's arrival. Minor deficiencies and/or missing documents that cannot be corrected prior to the incoming unit's arrival will be annotated on the TOA memorandum. Memorandums for Record (MFRs) documenting the deficiencies, attempts made to rectify them, and the circumstances in which they occurred, should be prepared and included in the project file.
- The outgoing PMs and/or PPOs will review all open documents with the incoming unit and explain the terms of each contract, specified tasks directed to the vendor, payment terms, payment schedule and a detailed record of payments made to-date, and the latest Quality Assurance (QA)/Quality Control (QC) report.

- The outgoing PPOs will introduce the incoming PPOs to the vendors or their representatives. The incoming PPOs and PAs should be introduced to any agents of the vendor authorized to receive payments.
- To the greatest extent possible, the outgoing PM/PPO should arrange site visits for the incoming PM/PPO. If feasible, the vendor should accompany the USG representatives on their site visits.
- The outgoing PA will clear with the local DDO/DA and return any remaining cash-on-hand.
- After turnover, the outgoing and incoming PMs/PPOs will complete a TOA memorandum. The signed TOA memorandum will be submitted to the unit's CERP Manager for validation and then consolidated for the commander.

4-5. The outgoing commander will ensure that, for all projects, the necessary documentation has been updated and uploaded in the CIM system of record. The outgoing commander will review all projects listed on the TOA memorandum with the incoming commander. The commander and CERP personnel should thoroughly review all projects obligated and/or completed by the outgoing unit to ensure the incoming personnel are properly prepared to answer any audit questions or Congressional inquiries of projects executed or initiated by their predecessors. During this review, the incoming CERP personnel will verify that all CERP guidelines have been met in accordance with local policies, unless an exception has been authorized and is on file.

4-6. The incoming commander will ensure the appropriate personnel have received a thorough briefing from the outgoing CERP personnel which details all projects being transferred. He also ensures his CERP Managers, PMs, PPOs, and PAs receive documented initial training. Upon a complete review of documentation, project file transfer, and satisfactory training, both the incoming and the outgoing commander will sign the TOA memorandum. The incoming commander now accepts responsibility for maintaining all CERP project files and for representing CERP operations during any audit or investigation.

FILES DISPOSITION

4-7. Files Disposition:

- The PM or PPO is responsible for maintaining the CERP project file until the project has been closed out in accordance with local policy. Once the complete project file has been uploaded to the CIM system of record, the PM will then notify the unit CERP Manager.
- No later than the 5th of each month, the unit CERP Manager is required to provide their higher headquarters a list of all CERP projects closed during the previous month. From this list, the CERP Manager, in conjunction with the G8, will conduct a CIM system of record file audit on all closed projects. If missing documentation is identified, then the higher headquarters will provide the CERP Manager with a list of action items.
- Once the file audit has been completed and the higher headquarters has confirmed that the files are in accordance with local policy, the CERP Manager will then download a hardcopy from the CIM system of record and maintain the hardcopy on file for one fiscal year.
- After the next fiscal year, CERP Manager will send all CERP project files to the higher headquarters CERP Manager for archiving.

4-8. Units re-deploying without follow-on U.S. forces, or who are being replaced by a multinational or foreign nation, should initiate a plan to complete all projects in progress prior to re-deployment. For projects that cannot be completed prior to re-deployment, the outgoing unit may need to designate a stay-behind CERP team, or request assistance from their Major Subordinate Command for the assignment of U.S. liaison officers to conduct QA/QC on the remaining open projects and to make payments to the vendor. Designated personnel must be trained CERP PMs, PPOs, and PAs.

Note: Prior to re-deployment, the outgoing unit must ensure all completed project files have been uploaded in the CIM system of record and the hard copies should be delivered to their Major Subordinate Command's CERP Manager. (The files must be retained in accordance with files disposition described above.)

4-9. For projects that are still on-going, once the project has been completed and closed, the designated personnel must ensure the complete project file is uploaded in the CIM system of record and the hard copy file has been sent to the Major Subordinate Command's CERP Manager.

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Appendix A

Commander and Civil Affairs Staff Officer Considerations

This appendix outlines tasks specific to the commander and G-9 or CA staff officer. The G-9 is the primary staff officer concerned with implementation of CERP within a unit's AOR. However, since it is a commander's program, the commander must be actively involved and interface with key local leaders and U.S. governmental and nongovernmental agencies as the G-9 recommends. Furthermore, no goods or services shall be purchased nor payments made without the expressed approval of the commander.

ASSESSMENT

A-1. The Commander along with his CA staff assess current conditions against a defined norm or established standards. This assessment begins at receipt of the mission and continues through the mission analysis process focusing on defining the civil components of the supported commander's AO. This step looks at the nonmilitary factors (areas, structures, capabilities, organizations, people, and events (ASCOPE)) that shape the operational environment. CA personnel assess each of the 14 CA functional specialties, as well as the general aspects of the AO. The product of this step is an initial estimate and restated mission statement. Commanders and CA staff officers should then follow the six-step Civil Affairs operations project management model. Namely, they identify, validate, plan, coordinate, facilitate, and monitor both material and nonmaterial Civil Affairs operations projects to achieve a supported commander's objectives relating to the civil component of the operational environment. For more information, refer to FM 3-57, Civil Affairs Operations.

COORDINATION

U.S. AND/OR FOREIGN GOS AND NGOS

A-2. Commanders in conjunction with their CA staff officers coordinate and determine project needs to gain the greatest effect, ensure the synchronization of effects and provide for documented host nation project acceptance with follow-on project maintenance and sustainment (as required) while seeking to meet urgent humanitarian and reconstruction needs. To accomplish this, they coordinate with local officials and U.S. and foreign governmental and nongovernmental agencies that operate in their AOR to prevent duplication of efforts and resources.

A-3. It is crucial that commanders and CA staff officers coordinate efforts with partnering entities in order to synchronize effects. This includes both U.S. and foreign governmental and nongovernmental entities. Several of these entities may already provide complementary programs. Examples of such entities (non-inclusive) are:

- USAID.
- Provincial Development Committees.
- Provincial Reconstruction Teams (PRTs).
- Agribusiness Development Teams (ADTs).
- Regional Command commanders (in non-U.S. operational areas).
- Civil Affairs.
- Other nongovernmental agencies operating in the AOR (e.g., International Federation of Red Cross and Red Crescent Societies).

A-4. The result of this coordination will be documented in the Letter of Justification or other appropriate MFR.

LOCAL GOVERNMENT OFFICIALS

A-5. Once synchronization with partnering entities is achieved, the CA staff officer and commander must coordinate with local officials before nominating a project. Coordination with local officials is critical to ensure that the project meets a *perceived* need by the population, is appropriate for the culture, and will be maintained in the future. Operations, maintenance, and staffing should be discussed before any project begins and to gain the greatest effect, ensure the synchronization of effects, and provide for documented project acceptance with follow-on project maintenance and sustainment, as required.

A-6. Projects that incur excessive operating or sustainment costs may require an MOA between the project sponsoring unit and the appropriate representative (either local, provincial, or national) with the authority to accept follow-on maintenance and sustainment requirements of the project, acknowledging responsibility and his/her commitment to budget for and execute this agreement. If it is the responsibility of another donor nation or NGO to sustain the facility or equipment, then the responsible official from that donor nation or NGO must also sign an MOA. The following two clauses need to be inserted into all MOAs that the subordinate commander may enter into with a responsible official from that donor nation for the follow-on sustainment of projects:

- “Nothing in this MOA authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America.”
- “This document expresses the participants’ intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive.”

A-7. The intent is to educate the applicable government entity on the project itself, while ensuring understanding of the project’s out-year operating and sustainment costs. If the government official is not willing to fund operating costs or maintain the investment, do not nominate the project. The MOA may be a required document in the submission of a funding packet.

MICRO-GRANTS

Coordination/Solicitation

A-8. Commanders and CA staff officers shall maximize the use of partners through coordination in order to maximize and solicit applicants to the extent practical. Potential local partners include Provincial Development Committees, Community Development Committees, NGOs, tribal leadership, college and university officials, agricultural cooperatives, business development centers, and any other formal or informal entity supportive of efforts with sufficient outreach in their community. Final selection of grant recipients, however, will remain with the commander. Regardless of the source of the applicant and recommendations for approval, only those applications proposing viable business ideas should be approved.

A-9. The application and selection process shall be made clear to all applicants. For every applicant selected, there may be numerous disappointed non-selected applicants. By publicizing the objective criteria upon which the selection was made, it may lessen the perception that the process was pre-determined or otherwise unfair. While Commanders retain full discretion to deny grants to any party not deemed an appropriate recipient, for whatever reason, they should strive to ensure the perception of fairness so that the granting of CERP funds does not de-stabilize the area and have an effect opposite to the counter-insurgency (COIN) goals of CERP.

A-10. Grants provided should generally be nominal. Resources provided are not repaid or returned to the USG. In-kind deliveries of equipment, tools, and other material support, when practical, are preferred over cash payments. In-kind distributions help to ensure that grants are used for intended purposes and limit the ability of criminal elements and other corrupt individuals from gaining profits from grant proceeds. In

certain circumstances, however, one or more cash payments to be used for working capital may be provided to a grant recipient.

Note: Since in-kind contributions are not payments in cash, procurement of in-kind items must follow the individually or bulk-funded requirements techniques mentioned in Chapter 3, Section I and II, respectively.

A-11. Commanders are encouraged to be creative and adapt the micro-grant program to local conditions in order to achieve the best local results. The application guidance below provides general criteria to be used in evaluating grant requests. Ultimately, however, the judgment of individual commanders based on local circumstances will determine the relative merit of each grant request. The objective is to provide high-quality grants which have a positive impact in a community, not merely to make a large number of grants. Grant-making activities should be focused in areas underserved by other microcredit and assistance programs.

- In areas where micro-lending programs are available, applicants may propose to combine program resources in order to leverage capabilities. However, under no circumstances, shall grants be provided to repay existing microloans or other business support programs.
- If a micro-lending institution is present in a community, grants should be made to leverage the aggregate economic benefit of such activities. For example, an engine repair shop might receive a piece of equipment under the micro-grant program and a loan from a micro-finance institution to use as working capital to hire one or more new employees to operate that machine. This grant should include a reasonable contribution from the person/entity that has requested this engine repair shop.

A-12. Commanders are encouraged to use the micro-grant program in conjunction with other CERP projects and other Multinational Forces and USG initiatives. For example, it may be appropriate, in certain circumstances, to require a grant applicant to employ vocational education graduates or students as a condition for receipt of a grant. While an expected collateral benefit of the micro-grant program is increased employment opportunities at small businesses, the program may not be used as a general purpose job creation program.

A-13. Units will develop SOPs for grant solicitation, approval, implementation, and progress monitoring, including a written application to be completed for each grant application. Procedures will incorporate the guidance and restrictions contained in local policy.

A-14. Support to individuals without prior business experience may be considered on a case-by-case basis, particularly with respect to recent college, university, or professional graduates who desire to start a business.

Note: Only applicants with strong business concepts should be considered for grants in this latter category.

A-15. Micro-grants are prohibited to enterprises which are in the following lines of business:

- Entertainment.
- Equipping or training.
- MISO or information operations.
- Weapons sales or service.

A-16. Micro-grants may not be used to obtain goods or services directly for U.S., multinational, or other supporting military forces. The business activities supported can have a relationship to reconstruction or HA activities, but it is not required. Questions regarding whether a proposed grant is sufficiently related to these efforts should be directed to the local legal office or CA staff officer. Example activities which have a sufficient connection to reconstruction and humanitarian assistance activities include:

- Construction.
- Equipment and electronic repair.
- Agribusiness, including production, processing, and distribution.

- Textiles, including production and alterations.
- Educational services.
- Reconstruction material supply.
- Heavy equipment.
- Transportation.
- Conflict resolution and mediation services.
- Legal services related to furthering rule of law.
- Medical services.

Evaluation

A-17. Applications will be evaluated on the basis of the following criteria:

- The applicant has the necessary knowledge, skills, and experience required to undertake the proposed activity.
- The applicant has an understanding of the market for his/her proposed activity, to include where the product or service will be sold, for what cost, and the current level of competition.
- The resources required for the proposed activity are available to the applicant and realistic to the business concept.
- How the business will re-invest incomes derived from the grant back into the business.

A-18. The applicant's proposed plan should state:

- How the assistance provided will be used.
- How he will manage the activity, including the use and maintenance of resources.
- If the applicant has alternative resources.
- How the business will re-invest incomes derived from the grant back into the business.

A-19. Assess if:

- The applicant's business has been negatively impacted by military operations or extremist violence.
- The applicant has character references from trusted sources in the community.
- There will be measurable increases in production, trade, or business activity.
- The proposed activity will have a positive impact on the community.
- The proposed activity will create additional jobs for the local populace and if so, how many.
- The applicant is willing to contribute resources to the proposed activity, including in-kind contributions and "sweat equity" (e.g., time and personal resources).

A-20. Customary background checks of recipients of U.S. funds will be conducted on all approved applicants prior to disbursement of grant proceeds. Consult your local operational area security or Task Force Biometrics Office for more information.

ASSIGNMENT TO PPO OR PM

A-21. Once identification and coordination of CERP requirements by the commander and CA staff officer is complete, the CERP Manager assigns the project to the PPO or PM. The individual who accepts goods or services will be responsible for vetting the requirement to the unit staff.

FACILITATE REVIEW BOARD

A-22. Once the requirement has been vetted through the unit staff by the PPO or PM, the CA staff officer ideally facilitates a Review Board. This board ensures the projects under consideration deliver the desired effects of the command. The CA staff officer facilitates the board and the commander or his XO/CoS chairs it. Recommended attendees include but are not limited to the commander, the SJA, the Engineer, CA staff officer, the CERP Manager, the PPO, the PA, subordinate commanders, and other partnering entities operating within the AOR that have a stake in project selection.

A-23. The board is also used to:

- Review the status of the unit CERP fund account.
- Recommend projects or payments to be approved based on their potential contribution to the unit's overall plan and their support to decisive points and end states for each line of operation.
- Prioritize unfunded CERP projects across the command or recommend deletion of projects based on commander's guidance and other available funding.
- Coordinate and synchronize the use of other available funds and resources (e.g., from other GOs or NGOs and Foreign Claims) (e.g., if the commander deems it advantageous to build a road through his AO for the local populace, USAID may already have plans to do so, thereby avoiding this cost).
- Notify the commander of projects that require additional funding or cancellation.
- Update the commander on the progress of previously approved projects.
- Disseminate command guidance.
- Review and de-conflict project proposals from subordinate units, local authorities, and other agencies.
- Share CERP- or project-related lessons learned throughout the command
- Share successes of CERP projects to local leaders for communication to national leaders.

A-24. At a minimum, discuss the following items when reviewing a project for approval:

- Foundation
 - How does this project satisfy an urgent humanitarian or reconstructive need in the short and long-term? In other words, how does this project alleviate a chronic absence of essential goods or services in your AO?
 - Does the project violate any of the CERP prohibitions identified in DoD FMR 7000.14-R, Volume 12, Chapter 27?
 - Is there a capacity within the area to maintain and operate this requirement (e.g., staffing, funding for recurring operational costs, funding for equipment and supplies)?
- Local
 - Is this project on the Provincial Development Plan (PDP)? If not, has the local, provincial, or national government endorsed or requested this project?
- Regional
 - What is significant about this project and area to operational strategy?
- National
 - Which of the goals does this project align with and how will it support the operational strategy?
- Metrics
 - Was a preliminary assessment done to find metrics by which to measure this project's success?
 - When and how will these results be measured?
 - What is the target goal for the results? What end-state is this project trying to achieve?
- Funding
 - Is another funding source already available?

A-25. Approved requirements should be ranked from most important to least important based on the above criteria. The unit funds as many requirements as possible through individual and bulk-funding. The remaining requirements become the CERP UFR list. The CERP UFR should be updated as often as possible, so that when funding becomes available, the most important projects (as viewed by the commander) are funded first.

APPROVAL

A-26. The commander approves requirements, depending on the approval thresholds in place, by signing the following documents:

- Individually-funded CERP Projects:
 - Block 35 of the DA Form 3953, PR&C.
 - Development Report (if required).
 - Letter of justification (if required).
- Bulk-funded Projects:
 - Block 35 of the bulk-fund DA Form 3953, PR&C (when initially requesting bulk funds).
 - Approval MFR or Development Report *for each project* (during project clearance).
- Special payments:
 - Block 35 of the bulk-fund DA Form 3953, PR&C (when initially requesting bulk funds).
 - MFR for each payment (multiple payments may be approved on the same MFR).
- Micro grants:
 - Block 35 of the DA Form 3953, PR&C.
 - “Approval” block of each application.

A-27. For requirements that require a higher level of approval, the CERP Manager must submit the following to the next higher-level CERP Manager for review, coordination and/or approval. This process is mirrored at each level until the proper approval authority has approved or disapproved the requirement:

- Individually-funded CERP Projects:
 - Copy of nomination packet (maintain original).
 - Memorandum from commander to approval authority recommending approval.
 - DA Form 3953, PR&C (approval authority will sign block 35).
- Special payments:
 - Memorandum from commander to approval authority recommending approval of payment(s).
 - MFR for each payment (multiple payments may be approved on the same MFR; approval authority signs MFR).
- Micro grants:
 - Memorandum from commander to approval authority recommending approval of payment(s).
 - Application (approval authority will sign “Approval” block).
- Previously approved CERP Projects requiring additional funding whose total amount exceeds current commander’s approval authority:
 - Copy of nomination packet (maintain original).
 - Request for Additional Funds signed by requesting commander to approval authority.

MONITOR ENTERPRISE (MICRO-GRANT)

A-28. Once a grant is distributed, the progress of the supported enterprise will be monitored to ensure the grant funds have been fully expended on the approved initiative. The intent is to assess the effectiveness of the grant, not to provide mentoring or other support for the enterprise. The effectiveness of prior grants should be used as a guide in subsequent grant making activities.

Appendix B

Project Purchasing Officer Techniques

This appendix outlines specific tasks that the PPO executes upon the unit's generation of a requirement and ends when PPO clears with the Contracting Officer. It includes all tasks in sequence and is meant to be the most frequently referenced chapter for the PPO. This appendix assists the PPO by demonstrating *how* he performs specific transactions from start to finish.

COORDINATE WITH FUNCTIONAL STAFF/NOMINATE PROJECT

B-1. Once the project has been identified and coordinated by the commander and CA staff officer, the CERP Manager may assign the PPO to coordinate with other functional staff to nominate the project:

Note: If the PPO is the acceptor of goods or services for a particular project, the PPO will manage the project's documentation and input into the CIM system of record. Otherwise, with the exception of interfacing with the G-8, the PM manages this.

- CERP Manager:
 - Sustainment MOA (if required).
 - Draft letter of justification (if required).
- PM:
 - PM Appointment Memorandum signed by the Contracting Officer (appointed as COR) .
 - Independent Government Cost Estimate (IGCE).
 - Statement of Work (SOW).
 - Other documents (if required, e.g., blueprints, drawings, maps, photos, land use agreements).
- SJA:
 - Legal Review.

Note: Legal reviews may be required for certain CERP projects. Legal reviews can be documented by a SJA's signature, duty position, and date, on the report in the CIM system of record or in a memorandum format and uploaded to the CIM system of record. Legal counsel can be provided via phone to the commander in the field; however, a formal review must be accomplished, at the earliest date possible. All claims must be reviewed by a U.S. DoD attorney in order to determine whether CERP, Solatia, or Foreign Claims funds will be used for payment.

- PPO/Contracting Officer (whoever executes the contract):
 - PPO Appointment orders signed by the Contracting Officer.
 - Draft Contract (using the technical information produced by the PM to develop the contract).
 - DA Form 3953, PR&C (using the estimates from the PM's IGCE).
 - Development Report printout from the CIM system of record.
- Pay Agent:
 - PA DD Form 577 signed by the commander.

B-2. The PPO enters all project data into the CIM system of record and submits the project nomination packet to the CERP Manager, who prepares it for the Commander's approval via the CERP Review Board.

SUBMIT FUNDING PACKET

B-3. Once the project has been approved by the commander, the PPO submits the funding packet to the G-8. Because the PPO cannot execute a contract without the commitment of funds, and the G-8 cannot eventually obligate (or de-obligate) the funds without the contract, the PPO is responsible for submitting the funding packet to the G-8. At a minimum, the following documents are needed to receive funding from the G-8:

- Individually-Funded Requirements (general):
 - Completed and approved DA Form 3953, PR&C (see Appendix E, Figure E-1).
 - PPO Appointment Order signed by the Contracting Officer (see Appendix E, Figure E-2).
 - PM Appointment Memorandum signed by the Contracting Officer (see Appendix E, Figure E-3).
 - PA DD Form 577 signed by the commander (see Appendix E, Figure E-4).
 - Justification Memorandum (if required) (see Appendix E, Figure E-5).
 - Sustainment MOA (if required) (see Appendix E, Figure E-6).
 - Land Use Agreement (if required) (see Appendix E, Figure E-7).
 - Legal Review.
 - IGCE.
 - SOW.
 - Development Report signed by commander (if required).
 - Blueprints (if required).
 - Drawings (if required).
 - Maps (if required).
 - Photos (if required).
 - Other documents as local policies and procedures require.

Note: The PA's DA Form 577 is not necessary for payment if the DDO/DA will make the payment.

- Bulk-Funded Requirements (General):
 - Completed and approved DA Form 3953, PR&C (see Appendix E, Figure E-1).
 - PPO Appointment Order signed by the Contracting Officer (see Appendix E, Figure E-2).
 - PA DD Form 577 signed by the Unit Commander (see Appendix E, Figure E-4).
- Bulk-Funded Special Payments:
 - Completed and approved DA Form 3953, PR&C (see Appendix E, Figure E-1).
 - PPO Appointment Order signed by the Contracting Officer (see Appendix E, Figure E-2).
 - PA DD Form 577 signed by the Unit Commander (see Appendix E, Figure E-4).
 - PPO Certifying Officer DD Form 577 signed by the Unit Commander (see Appendix E, Figure E-9).
- Micro Grants:
 - Completed and approved DA Form 3953, PR&C (see Appendix E, Figure E-1).
 - PPO Appointment Order signed by the Contracting Officer (see Appendix E, Figure E-2).
 - PA DD Form 577 signed by the Unit Commander (see Appendix E, Figure E-4).
 - PPO Certifying Officer DD Form 577 signed by the Unit Commander (see Appendix E, Figure E-9).
 - Copy of micro-grant applications (not yet approved)
 - Development Report for each grant.

Note: If awarding multiple grants, list each grant, its project number, and its amount. The DA Form 3953, PR&C's total amount will cover all grants.

SELECT VENDOR/EXECUTE CONTRACT

B-4. Once the PPO receives a certified DA Form 3953, PR&C from the G-8, he updates the CIM system of record with the 14-digit document reference number assigned by the G-8 on the PR&C, changes the project's status in the CIM system of record from "nominated" to "in progress," and forwards the PR&C to the PA so that the PA may draw funds from the DDO/DA. With a funded requirements packet and a project that falls within the authority of the PPO to contract, the PPO begins the process of seeking bids and awarding the contract. Based on gathered information and market research, the PPO selects the vendor ensuring that the price is fair and reasonable and drafts or finalizes the contract.

B-5. Forms commonly used for contract award include (non-inclusive):

- Standard Form (SF) 44, *Purchase Order - Invoice – Voucher*.
- SF 26, *Award/Contract*.
- SF 33, *Solicitation, Offer and Award*.
- SF 1449, *Solicitation/Contract/Order for Commercial Items*.
- DD Form 1155, *Order for Supplies or Services*
- Optional Form (OF) 307, *Contract Award*
- Theater-specific contracts.

Once the contract is awarded, the PPO sends a copy of the final contract to the G-8 for obligation of funds, begins a ledger for each PR&C (similar to the PA Ledger that starts with the amount certified on the PR&C) and annotates a running balance after each payment (see the ATP 1-06.1, Appendix A, Figure A-10). This ledger is slightly different from the PAs ledger. The PPO is primarily concerned with the total available funding on the PR&C, while the PA is primarily concerned with individual cash balances (both U.S. and foreign currency). Even so, the PPO should reconcile with the PA after every payment to ensure synchronization of total funding available on the PR&C and total cash on hand.

MONITOR PROGRESS

B-6. The PPO monitors the financial and programmatic progress of the project, including how the financial and program data display in the CRRT, until completion in accordance with the timeline specified. The PPO consolidates all documents generated during the project. All required documents listed on the CERP project file checklist must be included in the official project file and uploaded to the CIM system of record.

B-7. During the delivery of certain contracts, it may be necessary to modify the contract in the following situations:

REQUESTS FOR ADDITIONAL FUNDING (RAF)

B-8. Sometimes the costs of a project are understated and discovered during the performance of a project. If this is the case, the PPO will direct the vendor to cease performance and the PPO will submit a RAF to the G-8 (see Appendix E, Figure E-12).

Note: If the additional funding causes the total cost of the requirement to exceed an approval threshold, the PPO must first seek approval from the appropriate-level commander before submitting a RAF. The vendor must not continue work until receipt of additional funding.

B-9. If a project incurs additional costs that exceed the amount on the DA Form 3953, PR&C, the PPO notifies the CERP Manager, who recommends to the approving commander either suspension of work on the project or the submission of a RAF prepared by the PPO for the difference. The commander approving the funds increase must have approval authority high enough for the total cost of the project. If not, then the RAF must be submitted to the appropriate level commander for review and approval.

Note: All RAFs must be routed through the G-8 for funds certification after the cost increase has been approved, prior to any contracting modifications or disbursements being made.

RATIFICATION

B-10. Ratification is the process of approving an improper procurement or an unauthorized commitment.

- An improper procurement is making a prohibited purchase or obligating funds in excess of the available amount (potential ADA violation).
- An unauthorized commitment is any agreement that is not binding solely because the USG representative who made the commitment lacked the authority to enter into that agreement on behalf of the government (i.e., if the PPO exceeds his authority or if a non-PPO enters into a contractual agreement with a vendor).

B-11. Ratification is a long, complicated process, and not all ratifications result in approval (which means the PPO and/or Paying Agent (PA) may have to personally pay for the purchase).

Note: Prohibited purchases cannot be ratified, because there is no legal authority authorizing the purchase. If you believe a ratification action is required, contact the Contracting Officer immediately.

PROJECT CANCELLATIONS

B-12. If a situation with a vendor arises that hinders the progress of a project, the PPO will notify the CERP Manager. If eventually the project is cancelled or suspended, and funds had been previously obligated, the PPO or Contracting Officer will immediately notify the G-8 and initiate actions required for cancelled or suspended projects. This will be also recorded immediately within the CIM system of record in order to catalogue lessons learned (i.e., change status to “terminated”; do not overwrite the CIM system of record data on a terminated project when starting a new project).

ACCEPT GOODS OR SERVICES

B-13. Once the vendor has delivered the goods or services, the PPO must ensure it is in compliance with the contract. The PPO can accept goods or services on the following forms:

- SF 44, *Purchase Order – Invoice – Voucher*
 - If the PA is making the payment, the PPO initiates the SF 44, *Purchase Order – Invoice – Voucher*, using a continuation sheet if necessary (see the ATP 1-06.1, Appendix A, Figure A-9). The PPO completes everything above the “Purchaser” portion of the SF 44, *Purchase Order – Invoice – Voucher* using the information in block 19 of the PR&C to fill the “Purpose and Accounting Data” block. The PPO will annotate the 14-digit document reference number (DRN) from the PR&C on each SF44. If PR&C covered multiple projects (e.g., for a bulk fund), the PPO will change the last 2 digits of the 14-digit DRN such that each project (not each SF44) has a unique DRN (the first 12 digits will be consistent with the DRN in Block 2 of the PR&C; the last 2 digits will be unique for each project of the bulk fund, beginning with 01). If the PPO is the receiver of the goods or services, he will also complete and sign the “Received By” block on the SF 44, *Purchase Order – Invoice – Voucher*. The SF 44, *Purchase Order – Invoice – Voucher* may serve as the vendor’s invoice when signed by the vendor, however it is always recommended to obtain a vendor’s invoice. The PA will complete the rest of the SF 44, *Purchase Order – Invoice – Voucher* and pay the vendor.
- DD Form 250, *Material Inspection and Receiving Report*
 - If the DDO/DA is making the payment, a DD Form 250, *Material Inspection and Receiving Report* must be used as the receiving report. The PPO inspects the work that is done and if acceptable, completes the document. Although the DD Form 250 also serves as an invoice, it is recommended to obtain an invoice from the vendor.
- Other forms commonly used for receiving reports include (non-inclusive):
 - Department of Defense (DD) Form 1155, *Order for Supplies or Services*.
 - Bill of Lading.
 - Theater specific forms (consult with the Contracting Officer).

REQUEST PAYMENT FROM DDO/DA

B-14. The PPO will submit the following to request an EFT, LDA, or cash payment by the DDO/DA:

- The DA Form 200, Transmittal Record, requesting EFT Payment.
- DA Form 3953, PR&C.
- The basic contract and all modifications.
- PPO appointment orders (if PPO executed contract or accepted goods or services).
- PM Appointment Memorandum signed by the Contracting Officer (if PM accepted goods or services).
- Contracting Officer warrant (if he executed the contract).
- Vendor's invoice.
- Signed DD Form 250, *Material Inspection and Receiving Report*.

B-15. The DDO/DA will return the DA Form 200 to acknowledge receipt of the payment request. The DDO/DA will make the payment by producing an SF 1034 (see the ATP 1-06.1, Appendix A, Figure A-14), *Public Voucher for Purchases and Services other than Personal*. The DDO/DA will send a copy of the SF 1034 to the PPO or Contracting Officer once the payment has been sent to International Treasury Services. The PPO uploads all documents into the CIM system of record and enters project information into the CRRT.

CERTIFY PAYMENT (SPECIAL PAYMENTS AND MICRO-GRANTS)

B-16. Payments made from appropriated funds (e.g., CERP) to individuals and commercial activities require certification IAW DoDFMR 7000.14-R, Volume 5, Chapter 11. By signing a voucher as a certifying officer, the PPO certifies that the items listed are correct and proper for payment from the appropriation(s) or other funds designated thereon or on supporting vouchers, and that the proposed payment is legal, proper, and correct. Because of this, certifying officers are pecuniarily liable (personally responsible) for payments that they certify. The PPO certifies special payments by doing the following:

- Before each payment:
 - Verifying that the approval MFR or approved Micro-grant application has been signed by the commander.
 - Verifying that the "Payee Identification" (blocks 5a-d) and "Amount" (block 5f) of the PAs DD Form 1351-6 are consistent with the information in the Approval memorandum(s).
 - Verifying that CERP funds are proper for the proposed special payment (i.e., not a Foreign Claims or Solatium payment).
 - Certifying that the payment is proper by initialing next to the "Payee identification" block for each payment.
- When it is time for the PA to clear the DDO/DA of all payments on the respective DA Form 3953, PR&C:
 - Ensuring that all payments on the DD Form 1351-6 have been certified previously (i.e., the PA has not made any payments without the PPO's signature) by completing block 7a and signing in block 7b.
 - If the PA has made any payment that the PPO has not certified (i.e., PA made an unlawful payment), the PPO must contact the G-8 and DDO/DA to resolve the matter.

CLEAR ACCOUNT

CLEAR COMMANDER

B-17. Upon project closure, the PPO will submit all project documents to the CERP Manager, who will obtain a clearance memorandum from the commander. Commanders are required to review the project file, all disbursement vouchers, and sign the following documents:

- Project clearance memorandum.

- Development Report which shows the project status as “Completed” and has a completed “Project Closure” section.

B-18. The PPO adds the commander’s clearance memorandum and the signed Development Report to the project file and uploads it to the CIM system of record.

CLEAR G-8

B-19. The PPO then submits the completed project file to the G-8 for review and reconciliation. The PPO is responsible for making corrections or providing memorandums explaining lost or illegible documents (endorsed by the approving commander). In addition to the documents previously submitted for funding, the PPO submits the following upon closure of a CERP Requirement to the G-8:

- Individually-Funded Requirements (General):
 - Bids (if required).
 - Finalized contract.
 - Contract modifications (if applicable).
 - SF 1034, Public Voucher for Purchases and Services Other Than Personal.
 - SF 44, Purchase Order – Invoice – Voucher, or DD Form 250, Material Inspection and Receiving Report.
 - Vendor’s invoice(s) (recommended for payments made by the PA; mandatory for payments made by the DDO/DA) .
 - Commander’s Clearance Memorandum (upon closure) (see Appendix E, Figure E-10).
- Bulk-Funded CERP Requirements (General):
 - Bids (if required).
 - Finalized contract.
 - Contract modifications (if applicable).
 - SF 1034, Public Voucher for Purchases and Services Other Than Personal.
 - SF 44, Purchase Order – Invoice - Voucher.
 - Vendor’s invoices (if possible).
 - Commander’s Clearance Memorandum.
 - Justification Memorandum (if required). (see Appendix E, Figure E-5).
 - Sustainment MOA (if required).
 - Land Use Agreement (if required). (see Appendix E, Figure E-7).
 - IGCE.
 - SOW.
 - Development Report signed by commander (if required).
 - Blueprints (if required).
 - Drawings (if required).
 - Maps (if required).
 - Photos (if required).
 - Legal Review.
 - Other documents as local policies and procedures require.

Note: The SF 1034 covers all payments within the bulk fund. All other documents listed are required for each project

- Bulk-Funded Special Payments:
 - SF 1034, Public Voucher for Purchases and Services Other Than Personal.
 - DD Form 1351-6, Multiple Payments List. (see Appendix E, Figure E-13).
 - Special Payment Approval Memorandums (see Appendix E, Figure E-11).
- Micro Grants:

- Approved Micro-grant applications (see Appendix E, Figure E-10).
- Legal Review.

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Appendix C

Project Manager Techniques

This appendix outlines specific tasks that the PM executes upon the unit's generation of a requirement and ends when he accepts the goods or services in his capacity as a Contracting Officer's Representative (COR) . It includes all tasks in sequence and is meant to be the most frequently referenced chapter for the PM. This chapter assists the PM by demonstrating *how* he performs specific transactions from start to finish.

COORDINATE WITH FUNCTIONAL STAFF/NOMINATE PROJECT

C-1. Once the project has been identified and coordinated by the commander and CERP Manager, the CERP Manager may assign the PM to coordinate with other functional staff to nominate the project:

Note: If the PM is the acceptor of goods or services for a particular project, the PM will manage the project's documentation and input to the CIM system of record. Otherwise, the PPO manages this.

- CERP Manager:
 - Sustainment MOA (if required).
 - Draft letter of justification (if required).
- PM:
 - PM Appointment Memorandum signed by the Contracting Officer (appointed as COR).
 - IGCE
 - SOW
 - Other documents (if required, e.g., blueprints, drawings, maps, photos, land use agreements)
- SJA:
 - Legal Review.

Note: Legal reviews may be required for certain CERP projects. Legal reviews can be documented by a SJA's signature, duty position, and date, on the report in the CIM system of record or in a memorandum format and uploaded to the CIM system of record. Legal counsel can be provided via phone to the commander in the field; however, a formal review must be accomplished, at the earliest date possible. All claims must be reviewed by a U.S. DoD attorney in order to determine whether CERP, Solatia, or Foreign Claims funds will be used for payment.

- PPO/Contracting Officer (whoever executes the contract):
 - PPO appointment orders signed by the Contracting Officer.
 - Draft Contract (using the technical information produced by the PM to develop the contract).
 - DA Form 3953, PR&C (using the estimates from the PM's IGCE).
 - Development Report printout from the CIM system of record.
- Pay Agent:
 - PA DD Form 577 signed by the commander. (see Appendix E, Figure E-4).
 - The PPO submits the project nomination packet to the CERP Manager, who will prepare it for the Commander's approval via the CERP Review Board.

C-2. The PM enters the project data into the CIM system of record and submits the project nomination packet to the CERP Manager, who will prepare it for the Commander's approval via the CERP Review Board.

SCOPE PROJECT

C-3. During the staffing phase, the PM scopes the proposed project and develops a project proposal that describes what the project is and what it will do. This is called the performance work statement. Units provide this information to the PM to identify it as a planned project in the CIM system of record. The PM is responsible for developing the IGCE and SOW, in cooperation with subject matter experts.

C-4. The SOW should be sufficiently detailed to allow the contractor to know what needs to be done and the standards which must be met. At the end of the project, if there is a disagreement as to what work should have been done, the SOW will be used to determine who is correct. If the work is not spelled out in the SOW, the contractor is not obligated to perform the work. The SOW will contain:

- A detailed list of the material/services being provided will be included with the SOW. This list (along with their associated costs) should be reflected in the IGCE.
- For all construction projects, blueprints, drawings and/or maps will be provided as attachments to the SOW. To the greatest extent possible, the PM should use the standard blueprints/drawings provided by the responsible Ministry.
- Any costs associated with another organization (e.g., host country Engineer District – US Army Corps of Engineers, USAID) performing contracting and/or project oversight will be included within the estimated project cost.
- Clearly defined benchmarks and criteria for monitoring progress.

C-5. During the project nomination process, document the project cost and unavailability of other appropriate funds or inability to execute, and list the various sustainment or operating requirements identified.

MONITOR PROGRESS

C-6. The following list are the project manager's duties and responsibilities:

- Monitor the progress of the project until completion and turnover to the host nation government. Update the project data and the CIM system of record as changes occur (e.g., funds disbursed, percentage complete) and monitor the CRRT to ensure it accurately reflects project and financial data.
 - Conduct periodic QA inspections and document the results in the CIM system of record database. PMs should be capable of conducting regular site visits and planning operations to accommodate regular site visits.
 - Maintain the project file to ensure all required documentation is accounted for and uploaded to the Development Report in the CIM system of record, to include periodic QA reports for construction projects. Files are required to be retained for five years after the project has been completed.
 - Monthly and quarterly, respond to requests for information on selected projects in the CRRT, as requested by ARCENT, CENTCOM, ABO, Joint Staff, and/or OSD.
- The PM will consolidate all documents generated during the project. All required documents listed on the CERP project file checklist must be included in the official project file and uploaded to the CIM system of record.

C-7. PMs must accomplish the following general duties:

- Conduct a thorough QA assessment.
- Determine if the project components were adequately designed before construction or installation.
- Determine if the construction or rehabilitation meets the standards of the design.
- Determine if the contractor and the USG's QA plan are adequate.

- Determine the adequacy of the sustainment plan.
- Determine if the project results are consistent with the original objective.

C-8. The QA Assessment will be conducted and documented in the CIM system of record either by the PM or the project engineer. Each QA assessment will be added to the Development Report as a new “Update” in the CIM system of record. The QA assessment will document periodic visits to the construction site and include:

- Date and weather.
- Determination of percent complete.
- Number of employees on the site.
- Brief description and photographic evidence of work underway.
- Brief description of quality problems encountered, resolution plan, and follow up.

ACCEPT GOODS OR SERVICES

C-9. Once the vendor has delivered the goods or services, the PM must ensure they are in compliance with the terms in the contract. The following are the most commonly used forms:

- SF 44
 - If an SF 44, Purchase Order – Invoice - Voucher is used as the receiving report, the PM inspects the work that is done and if acceptable, signs in the “Received By” block of the SF 44. Though the SF 44 serves as the vendor’s invoice, it is recommended to obtain an invoice from the vendor.

Note: The PPO must first complete everything above the “Received By” block and sign in the “Ordered By” block.

- DD Form 250
 - If a DD Form 250, Material Inspection and Receiving Report is used as the receiving report, the PM inspects the work that is done and if acceptable, may complete a DD Form 250. Although the DD Form 250 also serves as an invoice, it is recommended to obtain an invoice from the vendor.
- Other forms commonly used for receiving reports include (non-inclusive):
 - Department of Defense (DD) Form 1155, *Order for Supplies or Services*.
 - Bill of Lading.
 - Theater specific forms (consult with the Contracting Officer).

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Appendix D

Pay Agent Techniques

The PA should refer to Chapter 5 of ATP 1-06.1, *Field Ordering Officer and Pay Agent Operations* for specific PA techniques (e.g., drawing funds, making a payment, clearing account). This appendix explains the techniques for making special payments, which is not found in the above manual. Both this appendix and the above manual contain specific tasks that the PA will execute upon receipt of a funded DA Form 3953, PR&C, and ends when the PA clears with the DDO/DA. They include tasks in sequence and are meant to be the most frequently referenced items for the PA. These references assist the PA by demonstrating *how* he performs specific transactions from start to finish.

SPECIAL PAYMENTS

D-1. The PA will initiate a DD Form 1351-6 by filling out blocks 1-4 and the “Paid By” section, and annotate the type of special payment in block 1 “Other” (see Appendix E, Figure E-15).

Note: The PA must ensure that all payments from any given PR&C are recorded on the same DD Form 1351-6 (or series of DD Forms 1351-6) (i.e., do not intermingle payments from different PR&Cs on any given DD Form 1351-6).

D-2. The PA will receive a memorandum from the commander authorizing the special payment (see Appendix E, Figure E-13). Some payments are automatic (e.g., Former Detainee Payments) unless *prohibited* by the commander. The PA may receive a vocal approval from the commander before making the payment but must also remember to obtain a formal copy of the approval memorandum before clearing the DDO/DA.

D-3. The PA will take the following steps on the DD Form 1351-6:

- Have the payee fill out blocks 5a-d (to fullest extent possible).
- Annotate the amount on block 5f.
- Have the payee sign in block 5g of the DD Form 1351-6.

Note: If the payee refuses to sign the DD Form 1351-6, the PA must annotate “payee refused to sign” in that block and document the circumstances on a MFR (see ATP 1-06.1, Appendix A, Figure A-12), which he files with the purchase records. The PA continues to finalize the payment with the payee (an E-7 or above (or PPO) serves as a witness on the memorandum).

- Count the money three times to ensure the correct amount of payment and disburse the funds.
- Repeat these steps for every payment approved by the commander for each PR&C.
- Assign a unique 14-digit DRN for each payment, starting with the first 12 digits from the DRN in Block 2 of the PR&C, then assign the last 2 digits in sequence, starting with 01. This will allow each payment to match up with the specific project data in the CIM system of record and show up as a separate project line in the CRRT (and ultimately to be reported to Congress).

D-4. The PA maintains accountability of the voucher(s) and uses a system to manage the cash (i.e., a manual or electronic ledger; see ATP 1-06.1, Appendix A, Figure A-11). The PA furnishes a copy of the DD Form 1351-6 to the PPO in order for the PPO to enter a description for each payment in the CIM system of record and to consolidate supporting documentation for clearance.

Note: A completed DD Form 1351-6 is a voucher and is equivalent to the monetary value of the cash it represents. The loss of a DD Form 1351-6 may equate to a personal loss.

Appendix E

Sample Forms and Documents

The following table lists common forms and documents that can be found in Appendix A of ATP 1-06.1, *Field Ordering Officer and Pay Agent Operations*:

- DD Form 1081, *Statement of Agent Officer's Account* (Advance and Return).
- SF 44, *Purchase Order – Invoice – Voucher*.
- SF 44, *Purchase Order – Invoice – Voucher* Continuation Sheet.
- PPO Ledger.
- PA Ledger.
- Memorandum for Record, subject: Refusal to sign SF 44, *Purchase Order – Invoice – Voucher*.
- SF 1034, *Public Voucher for Purchases and Services other than Personal*.

1. PURCHASE INSTRUMENT NO.		2. REQUESTING NO.		3. DATE		PAGE 1 OF 1	
PRC 1002		W80N1AX72763001		10 Jan 13		PAGES	
4. TO: Purchasing and Contracting Office S-4 121 Engineers Company Camp Zero, Dornum Range		5. THRU: Business Management Office Unit G-4, 121 Engineers Company Camp Zero, Dornum Range		6. FROM: Program Manager or Commander 555 Eng. Co.-Ntr. Letter Page Camp Zero, Dornum Range			
7. PURCHASED FOR: 555 Eng. Co. Camp Zero, Dornum Range		8. DELIVERED TO: 555 Eng. Co. Camp Zero, Dornum Range		9. NOT LATER THAN (Date): 10 Mar 13		11. TELEPHONE NUMBER	
10. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOLLOWING BY: <input checked="" type="checkbox"/> Emergency Situation Precludes Use of Regular Channels for Securing Item		12. DELIVERING DISCLOSES NONAVAILABILITY OF FED AND LOCAL PURCHASE IS AUTHORIZED BY: FOO, CPT Smith, Join		13. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION: 555 Eng. Co.		14. FUND CERTIFICATION: (123) 456-4433	
15. DESCRIPTION OF SUPPLY OR SERVICES: 1.000 lbs Caravel for Unit Practice Area		16. ESTIMATED UNIT PRICE: \$5.00 TOTAL COST: \$5,000.00		17. DISCOUNT FOR 10 days early delivery: P.O. 333-555		18. ACCOUNTING CLASSIFICATION AND AMOUNT: G-3 Accounting Classification Number: 0202020101D09 A2ACN7ACN00 6100.2300 1310946 AHB CA200 5000000000000000 534030 \$5,000.00	
19. TYPED NAME AND GRADE OF INITIATING OFFICER: CPT Smith, Join		20. TYPED NAME AND GRADE OF CERTIFYING OFFICER: RMA for G-3 LTC Ross, Ben		21. SIGNATURE: Ben Ross		22. DATE: 26 Jan 13	
23. TYPED NAME AND GRADE OF SUPPLY OFFICER: CPT Smith, Join		24. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE: MAHIE M. MICKENS LTC ENG		25. SIGNATURE: MAHIE M. MICKENS		26. DATE: 26 Jan 13	
27. TYPED NAME AND GRADE OF SUPPLY OFFICER: CPT Smith, Join		28. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE: MAHIE M. MICKENS LTC ENG		29. SIGNATURE: MAHIE M. MICKENS		30. DATE: 26 Jan 13	

Use by U.S. Army to build parking area.

29. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE:
USE BY U.S. ARMY TO BUILD PARKING AREA.

Figure E-1. Sample DA Form 3953, Purchase request and commitment

(OFFICE SYMBOL)

DATE

MEMORANDUM FOR RECORD

SUBJECT: Appointment of Project Purchasing Officer (PPO)

1. Appointment. Under AFARS 5101.602-2-91, you are appointed as a PPO for the purposes set forth in paragraph 2. Your appointment becomes effective (enter date) and will remain effective, unless sooner revoked, until expiration of the contract(s) enumerated in paragraph 2 or until you are reassigned or your employment is terminated. You are responsible to and under the technical supervision of the chief of the (enter name of installation or activity) contracting office for your actions as an Ordering Officer.

2. Authority, Limitations, and Requirements. Your appointment is subject to the use of the following method(s) of purchase, limitations and requirements:

a. Subject to your ensuring that local purchase authority exists for the transaction, you may make purchases using imprest funds for payments and using Standard Form 1165, Receipt for Cash - Subvouchers, provided all of the following conditions are satisfied:

(1) The aggregate amount of a purchase transaction is not in excess of \$500 under emergency conditions. You may not split purchases to avoid this monetary limitation.

(2) The supplies or non-personal services are available for delivery within 60 calendar days, whether at the supplier's place of business or at destination.

(3) The purchase does not require detailed, technical specifications or technical inspection.

b. Subject to your ensuring that funds are available and that local purchase authority exists for the transaction, you may make purchases using Standard Form 44, Purchase Order -- Invoice -- Voucher, provided all of the following conditions are satisfied:

(1) The aggregate amount of the purchase transaction is not in excess of \$3,000. You may not split purchases to avoid this monetary limitation.

(2) Supplies or non-personal services are immediately available.

(3) One delivery and one payment shall be made.

c. Subject to your ensuring that funds are available and that local purchase authority exists for the transaction, you may place delivery orders (DD Form 1155) without monetary limitation, except that specified in individual contracts, against –

(1) Brand Name contracts published in Defense Personnel Support Center Supply Bulletins in the SB 10-500 or SB 10-600 series;

(2) Defense Personnel Support Center requirements contracts for subsistence items;

(3) Defense Fuel Supply Center and Defense General Supply Center requirements contracts; and

Figure E-2. Sample PPO appointment order

(4) The following indefinite delivery contracts, copies of which are attached: (List contracts by number and name of contractor.)

d. Subject to your ensuring that funds are available and that local purchase authority exists for the transaction, you may place Service Orders for Household Goods, DD Form 1164, against Commercial Warehousing and Related Services for Household Goods contracts for military and civilian personnel, subject to the criteria prescribed in DoD 4500.34-R, Chapter 2, and provided that no Service Order shall be in excess of \$X,XXX.

e. You are responsible for:

(1) distributing and administering delivery orders that you place,

(2) establishing controls necessary to ensure that all contract terms and conditions are met and that supplies or non-personal services ordered conform to contract requirements before acceptance is made or payment authorized, and

(3) reporting deficiencies in contractor performance promptly to the contracting officer who awarded the contract against which the delivery order was placed. You may not make any changes in the terms or conditions of any contracts against which you place delivery orders.

f. The authority granted in this appointment may not be re-delegated to any other person.

3. Standards of conduct and Contracting Action Reporting Requirements.

a. You shall comply with the standards of conduct prescribed in DOD 5500.07-R.

b. You shall furnish the undersigned and the contracting officer to whom you are responsible such information as may be required for contracting action reporting purposes in the manner and the time specified.

4. Termination of Appointment.

a. Your appointment may be revoked at any time by the undersigned authority or successor and shall be terminated in writing, except that no written termination of your appointment shall be made upon expiration or termination of contracts enumerated in paragraph 2.

b. Should you be reassigned from your present position or separated from Government service while this appointment is in effect, you shall promptly notify the appointing authority in writing. Your appointment will be terminated in writing if you are reassigned; it shall automatically be terminated on the date you are separated from Government service, if it is not revoked sooner.

5. Acknowledgement of Receipt. You are required to acknowledge receipt of this appointment on the duplicate copy and return it to the contracting officer. Your signature also serves as certification that you have read and understand the contents of DOD 5500.07-R. The original copy of this designation should be retained for your file.

FULL NAME
BRANCH, RANK
Contracting Officer

Acknowledgement and Acceptance of Responsibilities:

Figure E-2. Sample PPO appointment order (continued)

1. I certify that I have been briefed and understand my duties and responsibilities as a PPO for Operation X, RCC X, APO AE XXXXX. I have read and understand DOD 5500.07-R, Joint Ethics Regulation.
2. I will place loyalty to country, ethical principles, and law above private gain and other interest and perform my duties in keeping with the highest tradition of the military service and civilian service to the U.S. Government.
3. I will avoid engaging in any personal business or professional activity or have or retain any direct or indirect financial interest which places me in a position in which there is a conflict or the appearance of a conflict between my private interests and the public interest of the United States as it relates to my duties and responsibilities as a DA Government individual.
4. I will accept no gifts or gratuities from those that have or seek business with DOD or from those whose business interests are affected by DOD functions.
5. I understand that my authority does not extend beyond the borders of (X Country).

PPO'S FULL NAME
PPO'S BRANCH, RANK
Project Purchasing Officer

Figure E-2. Sample PPO appointment order (continued)

(OFFICE SYMBOL)

DATE

MEMORANDUM FOR (CORName, Rank/Grade, and full mailing address)

Subject: Designation of Contracting Officer's Representative (COR) for Contract (Enter number).

1. Pursuant to DFARS 201.602-2 and AFARS 1.602-2-90, you are designated as the contracting officer's representative (COR) in administration of the following contract:

Contract Number:

For: (Enter item/system/services)

Contractor:

Contract Period:

2. You are authorized by this designation to take action with respect to the following:

a. Verify that the contractor performs the technical requirements of the contract IAW the contract terms, conditions and specifications. Specific emphasis should be placed on the quality provisions, for both adherence to the contract provisions and to the contractor's own quality control program.

b. Perform, or cause to be performed, inspections necessary in connection with paragraph 2a and verify that the contractor has corrected all deficiencies. Perform acceptance for the Government of services performed under this contract.

c. Maintain liaison and direct communications with the contractor. Written communications with the contractor and other documents pertaining to the contract shall be signed as "Contracting Officer's Representative" and a copy shall be furnished to the contracting officer.

d. Monitor the contractor's performance and notify the contractor of deficiencies observed during surveillance and direct appropriate action to effect correction. Record and report to the contracting officer incidents of faulty or nonconforming work, delays or problems. In addition, you are required to submit a monthly report concerning performance of services rendered under this contract.

e. Coordinate site entry for contractor personnel, and insure that any Government-furnished property is available when required.

3. You are not empowered to award, agree to or sign any contract (including delivery orders) or contract modification or in any way to obligate the payment of money by the Government. You may not take any action which may affect contract or delivery order schedules, funds or scope. The contracting officer shall make all contractual agreements, commitments or modifications that involve price, quantity, quality, delivery schedules or other terms and conditions of the contract. You may be personally liable for unauthorized acts. You may not re-delegate your COR authority.

4. This designation as a COR shall remain in effect through the life of the contract, unless sooner revoked in writing by the contracting officer or unless you are separated from Government service. If you are to be reassigned or to be separated from Government service, you shall notify the contracting officer sufficiently in advance of reassignment or separation to permit timely selection and designation of a successor COR. If your designation is revoked for any reason before completion of this contract, turn your records over to the successor COR or obtain disposition instructions from the contracting officer.

Figure E-3. Sample PM (COR) appointment memorandum

You are required to maintain adequate records to sufficiently describe the performance of your duties as a COR during the life of this contract and to dispose of such records as directed by the contracting officer. As a minimum, the COR file shall contain the following:

- a. A copy of your letter of appointment from the contracting officer, a copy of any changes to that letter and a copy of any termination letter.
 - b. A copy of the contract or the appropriate part of the contract and all contract modifications.
 - c. A copy of the applicable quality assurance (QA) surveillance plan.
 - d. All correspondence initiated by authorized representatives concerning performance of the contract.
 - e. The names and position titles of individuals who serve on the contract administration team. The contracting officer must approve all those who serve on this team.
 - f. A record of inspections performed and the results.
 - g. Memoranda for record or minutes of any pre-performance conferences.
 - h. Memoranda for record of minutes of any meetings and discussions with the contractor or others pertaining to the contract or contract performance.
 - i. Applicable laboratory test reports.
 - j. Records relating to the contractor's quality control system and plan and the results of the quality control effort.
 - k. A copy of the surveillance schedule.
 - l. Documentation pertaining to your acceptance of performance of services, including reports and other data.
6. All personnel engaged in contracting and related activities shall conduct business dealings with industry in a manner above reproach in every aspect and shall protect the U.S. Government's interest, as well as maintain its reputation for fair and equal dealings with all contractors. DOD 5500.07-R sets forth standards of conduct for all personnel directly and indirectly involved in contracting.
 7. A COR who may have direct or indirect financial interests which would place the COR in a position where there is a conflict between the COR's private interests and the public interests of the United States shall advise the supervisor and the contracting officer of the conflict so that appropriate actions may be taken. CORs shall avoid the appearance of a conflict of interests to maintain public confidence in the U.S. Government's conduct of business with the private sector.
 8. You are required to acknowledge receipt of this designation on the duplicate copy and return it to the

Figure E-3. Sample PM (COR) appointment memorandum (continued)

contracting officer. Your signature also serves as certification that you have read and understand the contents of DOD 5500.07-R. The original copy of this designation should be retained for your file.

CHIEF OF CONTRACTING FULL NAME
RANK, BRANCH
Chief of Contracting

Receipt of this designation is acknowledged:

Name: (Print or type)

Signature:

Title:

Date:

Rank/Grade:

Telephone

Figure E-3. Sample PM (COR) appointment memorandum (continued)

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE (Read Privacy Act Statement and Instructions before completing form.)		
PRIVACY ACT STATEMENT AUTHORITY: E.O. 9307, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5. PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds. ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C. Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register. DISCLOSURE: Voluntary; however, failure to provide the requested information may preclude appointment.		
SECTION I - FROM: APPOINTING AUTHORITY		
1. NAME (First, Middle Initial, Last) John H. Wayne	2. TITLE LTC, DN Battalion Commander	3. DOD COMPONENT/ORGANIZATION 1/23 Infantry Battalion, 46 HBC Camp Liberty, Iraq APO AE 39244
4. DATE (YYYYMMDD) 20101001	5. SIGNATURE <i>John H. Wayne</i>	
SECTION II - TO: APPOINTEE		
6. NAME (First, Middle Initial, Last) Joe S. Schmoee	7. SSN 123-45-6789	8. TITLE Pay Agent
9. DOD COMPONENT/ORGANIZATION 1/23 Infantry Battalion (S-6), 46 HBC	10. ADDRESS (Include ZIP Code) FOB Speicher, Iraq APO AE 39239	
11. TELEPHONE NUMBER (Include Area Code) VOIP 324-4337	12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) 20101001	
13. POSITION TO WHICH APPOINTED (X as applicable (one only)) <input type="checkbox"/> DISBURSING OFFICER <input type="checkbox"/> DEPUTY DISBURSING OFFICER <input type="checkbox"/> DISBURSING AGENT <input checked="" type="checkbox"/> PAYING AGENT <input type="checkbox"/> CASHIER <input type="checkbox"/> COLLECTION AGENT <input type="checkbox"/> CHANGE FUND CUSTODIAN <input type="checkbox"/> IMPREST FUND CASHIER <input type="checkbox"/> CERTIFYING OFFICER <input type="checkbox"/> DEPARTMENTAL ACCOUNTABLE OFFICIAL		
14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY IDENTIFIED IN ITEM 13. YOUR RESPONSIBILITIES INCLUDE: 1. Under the provisions of DoDFMR 7000.14-R, Volume 5, Chapter 2, Subparagraph 020604, you are hereby appointed as a Pay Agent to John H. Smith, MAJ, FC, Disbursing Officer, DSSN 1134, Camp Liberty, Iraq, APO AE 39244 from 01 October 2010 to 30 September 2011. 2. You are authorized to make payments to vendors for goods and services that have been ordered and received by the accompanying FOO using the SF 44, positively identifying all individuals you pay. Funds will not be entrusted to others or intermingled with other funds. Government funds and paid vouchers must be secured at all times as required by DoDFMR 7000.14-R, Volume 5, Chapter 3. Upon receipt of the Disbursing Officer's (DO's) instructions, you will read and discuss them with the Deputy DO (DDO) or Disbursing Agent (DDO/DA) so that you fully understand your responsibilities and liabilities before you depart the disbursing activity. You will immediately notify the DDO/DA of any discrepancies as soon as detected. You will turn in currency and paid vouchers to the financial management unit immediately upon completion of your mission. 3. Cash Holding Authority: \$10,000.		
15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED: DoDFMR 7000.14-R, Volume 5, Chapters 2, 3, and 33; Volume 10, Chapter 8 ATP 1-06.1, Chapters 1, 4, and 5 (Theater SOPs)		
SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT		
I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in item 17 below.		
16. PRINTED NAME (First, Middle Initial, Last) Ken W. Kenneth	17. SIGNATURE <i>Ken W. Kenneth</i>	
SECTION IV - TERMINATION OF APPOINTMENT		
The appointment of the individual named above is hereby revoked.		18. DATE (YYYYMMDD)
19. APPOINTEE INITIALS		
20. NAME OF APPOINTING AUTHORITY	21. TITLE	22. SIGNATURE

DD FORM 577, FEB 2011

PREVIOUS EDITION IS OBSOLETE.

Reset

Adobe Professional 8.0

Figure E-4. Sample PA DD Form 577, Appointment/Termination Record – Authorized Signature

(OFFICE SYMBOL)

Date

MEMORANDUM FOR (Approval Authority)

SUBJECT: Justification for CERP < Project #/Title>

1. **PURPOSE:** This should be a short description of the project.
2. **JUSTIFICATION:** The justification should give a synopsis of what the project will do, how it will benefit the local population and how it will support our desired effects (this is the project goal and should not be confused as a benefit to US or multinational forces). The justification should clearly articulate how the project meets the URGENT AND IMMEDIATE HUMANITARIAN RELIEF standard for CERP projects and the category the project falls within. The statement: “Reasonable measures have been taken to ensure that other aid and reconstruction funds (local, national, donor nation, nongovernment organization (NGO) or other resources) are not available” should be inserted into this justification.
3. **COORDINATION:** All projects must be coordinated with the proper host nation entities and the coordination that has taken place should be listed here. The outcome of the coordination and anything that the local, provincial, or national government has committed to accomplish with respect to the project shall also be included. This section should also include a summary of the plan to transfer the project to the host nation as well as the identification of any recurring operations and maintenance requirements. (The sustainment Memorandum of Agreement from the government for construction and equipment projects \$50K or more must be included with the packet).
4. **GOODS AND SERVICES:** This should list all requirements placed on the contractor in order to complete the project. If a detailed Statement of Work or bill of goods/materials is attached, reference it here.
5. **PERFORMANCE PERIOD:** This should give the timetable for execution of the project.
6. **LOCATION:** Include Province, District, City and an 8-digit grid coordinate (MGRS) if applicable. Roads and bridge projects should have a starting and ending grid coordinate.
7. **EMPLOYMENT:** List the number of local personnel employed during the performance period (short-term) and the number employed after completion (long-term).
8. **PROJECTED COST:** Estimated cost of the project.
9. **PERFORMANCE METRICS:** Using the situation that needs improvement as the baseline, state specific units of measure and methodology that will be applied to measure progress as the project develops and degree to which project achieved the intended purpose upon completion.
10. **IMPACT IF NOT FUNDED:** Possible negative outcomes if the project is not funded.
11. **POINT OF CONTACT:** All contact information of the individual who will answer questions that arise during the staffing process.

CDR’S FULL NAME
CDR’S RANK, BRANCH
Commanding

Figure E-5. Sample justification memorandum

Concur/Do Not Concur NEXT HIGHER CDR'S FULL NAME
CDR'S RANK, BRANCH Commanding

Approve/Disapprove APPR AUTHORITY'S FULL NAME
CDR'S RANK, BRANCH Commanding

Figure E-5. Sample justification memorandum (continued)



 REPLY TO ATTENTION OF	DEPARTMENT OF THE ARMY 123 rd INFANTRY BATTALION 10000 MAIN STREET, USA FORT SOMEWHERE, SOMEWHERE 09000
ATTC-XX	10 January 2013
 MEMORANDUM OF AGREEMENT BETWEEN COMMANDER, 123rd INFANTRY BATTALION AND DIRECTOR, DESERT PROVINCE MINISTRY OF PUBLIC WORKS 	
SUBJECT: Recurring Operation and Maintenance of the water well project	
 1. The purpose of this document is to memorialize an agreement between Commander, 123 rd Infantry BN and the Director of the Desert Province Public Works.	
2. By and through this agreement, the Director of the Desert Province Public Works agrees to be responsible for the operation and maintenance of the water well project, to include staffing, routine maintenance, and supplies, once construction has been completed and the water well has been transferred to the Desert Town. The estimated recurring operations and maintenance costs for this facility are 10,000 local currency dollars.	
3. Nothing in the Memorandum of Agreement authorizes the commitment or obligation of appropriated funds of the United States of America prior to their availability, or in violation of any applicable statute, regulation or policy of the government of the United States of America.	
4. This document expresses the participants' intent to achieve the goals of this project. The participants intend for this project to benefit the local community and its people. It is not, however, a legal instrument that binds the participants under international law. Rather, it embodies the aspirations towards which the participants strive.	
5. After the construction and transfer of authority are complete, the United States Armed Forces will return periodically to check on the condition of the facility. If the facility is not in satisfactory condition, future CERP projects may be cancelled in this area.	
 <i>Johnny L. Johnson</i> JOHNNY L. JOHNSON LTC, INF Commanding	 <i>Zahib Monzib</i> ZAHIB MONZIB MAYOR, TOWN City Hall

Figure E-6. Sample sustainment memorandum of agreement



DEPARTMENT OF THE ARMY
123RD INFANTRY BATTALION
10000 MAIN STREET, USA
FORT SOMEWHERE, SOMEWHERE 05000

10 January 2013

ATTN:XX

MEMORANDUM FOR RECORD

SUBJECT: License for Construction at Site Name Karkak, Tract No. or Property Identifier 112
Middle of the town

HOST NATION, Karkak City grants to the UNITED STATES OF AMERICA, an irrevocable right to enter upon the lands hereinafter described and consents to officers, employees, and authorized representatives (including contractors) of the United States Army entering and having continued access to said property at any time within a period of 12 months from the date of this instrument, in order to build and perform construction work and improvements upon the following terms and conditions:

1. This License includes the right of entry and egress upon the specified area of the HOST NATION Karkak, as described in Exhibit A, provided such entry is necessary in connection with the activities being conducted under this License and are not otherwise conveniently available to the UNITED STATES.
2. All tools, equipment, and other property taken upon or placed upon the land by the UNITED STATES shall remain the property of the UNITED STATES and may be removed by the UNITED STATES at any time within a reasonable period after the expiration of this License, unless and until such property is designated for transfer to the HOST NATION.
3. The UNITED STATES shall have the right to maintain site security over the lands hereinafter described to protect all tools, equipment, and other property taken upon and placed on such lands during the period of this License and until the UNITED STATES removes its property.
4. The HOST NATION Karkak warrants that it is the rightful and legal owner of the herein described premises and has the legal right to enter into this License. If the title of the HOST NATION Karkak shall fail, or it be discovered that the HOST NATION Karkak did not have authority to issue this License the UNITED STATES shall have the option to terminate this Right-of-Entry and the HOST NATION Karkak agrees to indemnify the UNITED STATES by reason of such failure. Nothing contained in this agreement may be considered as implying that Congress will at a later date appropriate funds to remedy any latent deficiencies.
5. No notice, order, direction, determination, requirement, consent or approval under this License shall be of any effect unless it is in writing. Notice will be deemed given and received:
 - a. if hand delivered to a party at the location specified below, against receipted copy, or

Figure E-7. Sample land use agreement

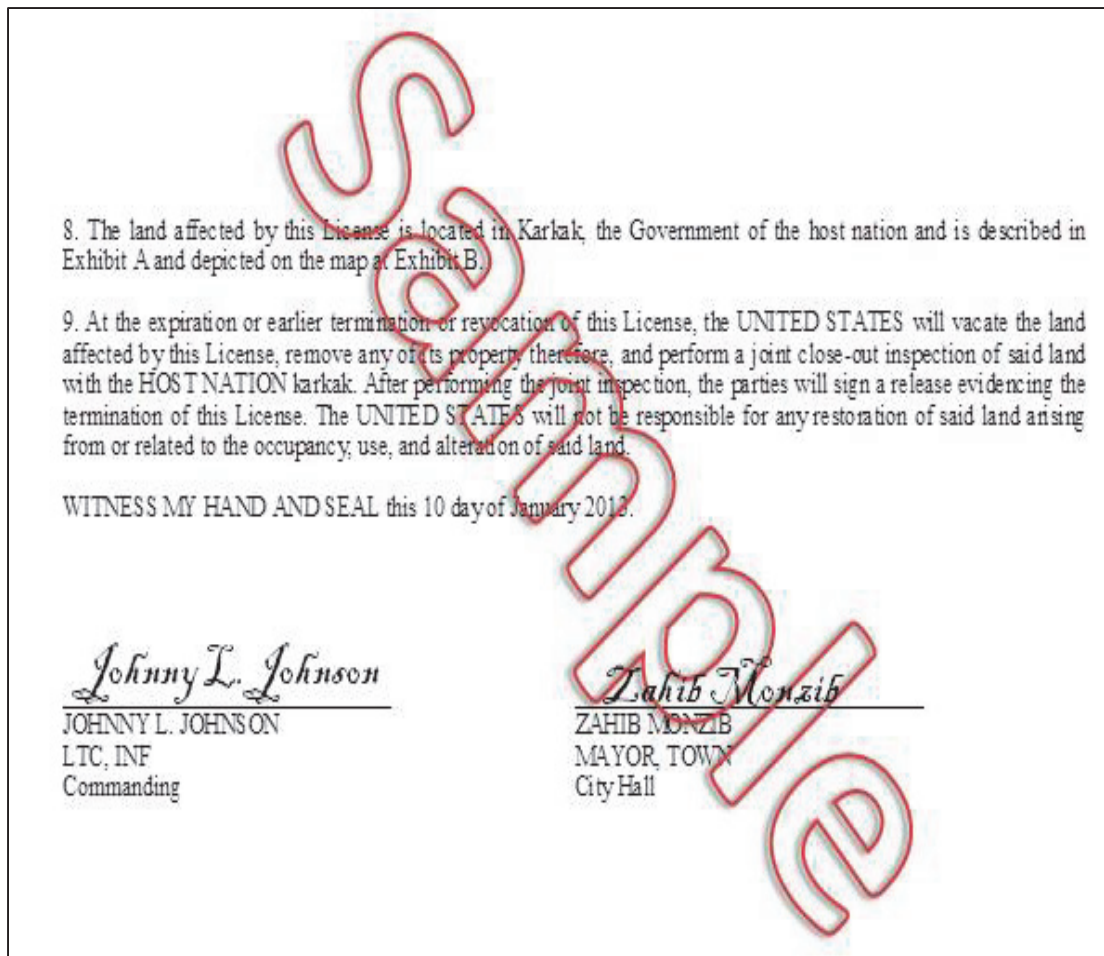


Figure E-7. Sample land use agreement (continued)



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
123rd INFANTRY BATTALION
10000 MAIN STREET, USA
FORT SOMEWHERE, SOMEWHERE 09000

ATTC-XX

10 January 2013

MEMORANDUM FOR RECORD

SUBJECT: Commanders' Emergency Response Program (CERP) Transfer of Authority

1. Reference:

a. USFOR-A Publication 1-06 dated December 2009, Money As A Weapons System.

2. A CERP Transfer of Authority (TOA) was conducted between 123rd Inf Bn and 10th Inf Bn from 1 Jan 2013 to 10 Jan 2013. The TOA included a review of all nominated, committed, active or obligated/active, and completed projects.

3. All project files were inventoried and signed for by the incoming unit. Deficiencies or missing documentation were identified and annotated on enclosures 1 – 4 attached. The incoming unit assumes responsibility for maintaining all transferred project files.

4. The incoming unit assumes responsibility for all open projects listed on enclosures 2-3. The outgoing and incoming project managers/purchasing officers conducted a thorough review of each project.

5. Enclosure 1 lists all unapproved, nominated projects for the incoming unit's consideration and possible execution.

6. The outgoing unit remains pecuniary liable and administratively responsible for all negligent or illegal CERP operations conducted during their tour. This document does not relieve outgoing unit personnel of any pecuniary liability or administrative or disciplinary actions.

7. The outgoing purchasing officers and paying agents have cleared the local finance office and any remaining cash-on-hand has been turned in. The incoming purchasing officers and paying agents have been appointed. The incoming unit has adequate means for securing funding for the paying agents.

Johnny L. Johnson
JOHNNY L. JOHNSON
LTC, INF
Outgoing Commander

Ben L. Benson
BEN L. BENSON
LTC, INF
Incoming Commander

Figure E-8. Sample transfer of authority memorandum

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE (Read Privacy Act Statement and Instructions before completing form.)		
PRIVACY ACT STATEMENT AUTHORITY: E.O. 9397, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5. PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds. ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C. Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register. DISCLOSURE: Voluntary; however, failure to provide the requested information may preclude appointment.		
SECTION I - FROM: APPOINTING AUTHORITY		
1. NAME (First, Middle Initial, Last) John H. Wayne	2. TITLE Battalion Commander (LTC)	3. DOD COMPONENT/ORGANIZATION 1st Infantry Battalion, 46 HBCI Camp Liberty, Iraq APO AE 09000
4. DATE (YYYYMMDD) 20130101	5. SIGNATURE	
SECTION II - TO: APPOINTEE		
6. NAME (First, Middle Initial, Last) John A. Jones	7. SSN 123-45-6789	8. TITLE Certifying Officer (MAJ)
9. DOD COMPONENT/ORGANIZATION 1st Infantry Battalion (S-4), 46 HBCI		10. ADDRESS (Include ZIP Code) FOB Somewhere, Iraq APO AE 09000
11. TELEPHONE NUMBER (Include Area Code) VOIP 322-4444	12. EFFECTIVE DATE OF APPOINTMENT (YYYYMMDD) 20130101	
13. POSITION TO WHICH APPOINTED (X as applicable (one only))		
<input type="checkbox"/> DISBURSING OFFICER	<input type="checkbox"/> DEPUTY DISBURSING OFFICER	<input type="checkbox"/> DISBURSING AGENT
<input type="checkbox"/> PAYING AGENT	<input type="checkbox"/> CASHIER	<input type="checkbox"/> COLLECTION AGENT
<input type="checkbox"/> CHANGE FUND CUSTODIAN	<input type="checkbox"/> IMPREST FUND CASHIER	<input checked="" type="checkbox"/> CERTIFYING OFFICER
<input type="checkbox"/> DEPARTMENTAL ACCOUNTABLE OFFICIAL		
14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY IDENTIFIED IN ITEM 13. YOUR RESPONSIBILITIES INCLUDE:		
1. Under the provisions of DoDFMR, Volume 5, paragraph 11020.5, (MAJ John A. Jones, 123-45-6789) is appointed as a Certifying Officer.		
2. Purpose: Certify CERP Special Payments (Condolence, Battle Damage, Hero, Dismal Release) from (01 January 2013 to 31 December 2013).		
3. Duties and Responsibilities: By signing a voucher as a Certifying Officer, you certify that the items listed are correct and proper for payment from the appropriation(s) or other funds designated thereon or on supporting vouchers, and that the proposed payment is legal, proper, and correct.		
4. Certify Special Payments by doing the following: (1) receive the approval MFR from the commander, (2) verify that the "Payee Identification" (block 5a-d) and "Amount" (block 5f) of the PAs DD Form 1351-6 are consistent with the approved memorandum(s), (3) initial next to the "Payee Identification" block for each payment, (4) ensure that all the payments to payees on the DD Form 1351-6 have been certified previously with the CM's initials (i.e., the PA has not made any payments without your certification) before the PA clears the D.O.		
15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED: DoDFMR, Volume 5, Chapter 33 DFAS-DF Regulation 37-1, Chapter 40 (MND-B-CERP SOP, 05 December 2006)		
SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT		
I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in item 17 below.		
16. PRINTED NAME (First, Middle Initial, Last) MAJ John A. Jones	17. SIGNATURE <i>John A. Jones</i>	
SECTION IV - TERMINATION OF APPOINTMENT		
The appointment of the individual named above is hereby revoked.		18. DATE (YYYYMMDD)
		19. APPOINTEE INITIALS
20. NAME OF APPOINTING AUTHORITY LTC John H. Wayne	21. TITLE Battalion Commander (LTC)	22. SIGNATURE <i>John H. Wayne</i>

DD FORM 577, FEB 2011 PREVIOUS EDITION IS OBSOLETE. Reset Adobe Professional 8.0

Figure E-9. Sample certifying officer DD Form 577, appointment/termination record

INSTRUCTIONS FOR COMPLETING APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE	
This form may be used to:	
<ol style="list-style-type: none"> 1. Appoint disbursing officers and their agents, e.g., deputy disbursing officers, disbursing agents, paying agents, cashiers, change fund custodians, and collection agents. 2. Appoint certifying officers. Certifying officers are those individuals, military or civilian, designated to attest to the correctness of statements, bills, accounts, and amounts appearing on a voucher for payment. 3. Appoint accountable officials. Accountable officials are those individuals, military or civilian, who are designated in writing and are not otherwise accountable under applicable law, who provide source information, data or service to a certifying or disbursing officer in support of the payment process. 4. Appoint other individuals for which an appointing authority considers this form appropriate; see item 13. 	
SECTION I.	
<ol style="list-style-type: none"> 1. Enter the name of the commander/appointing authority. 2. Enter the commander/appointing authority's title. 3. Enter the commander/appointing authority's DoD component/organization location. 4. Enter the date the form is completed. 5. The commander/appointing authority must place his or her legal signature in the block provided. Enter a digital signature in this item ONLY after completion of items 6 through 16, as this signature will "lock" those items. 	
SECTION II.	
<ol style="list-style-type: none"> 6. Enter the appointee's name. 7. Enter the appointee's social security number. The full social security number is required for pecuniary liability determination purposes. 8. Enter the appointee's title. 9. - 11. Enter the name, complete address, and telephone number of the DoD component/organization activity to which appointed. 12. Enter the date the appointment is to be effective. 13. Mark X in the appropriate box indicating the purpose for the appointment. For "other", specify the type of appointment. 14. The appointing authority should identify the types of payments affected, but need only be specific as he or she considers necessary. Include any other pertinent information (e.g., system involved). 15. List all regulations the appointee must review and follow in order to adequately fulfill the requirements of the appointment. 	
SECTION III.	
16. - 17. The appointee prints his or her name and enters his or her legal signature in the spaces provided.	
SECTION IV.	
Completing this section terminates the original appointment as of the effective date. If partial authority is to be retained, complete a new DD Form 577.	
<ol style="list-style-type: none"> 18. Enter the date the termination is effective. 19. The appointee will initial in the space provided acknowledging revocation of the appointment. 20. - 22. The appointing authority must place his or her name, title and legal signature in the spaces provided. 	
DD FORM 577 (BACK), FEB 2011	

Figure E-9. Sample certifying officer DD Form 577, appointment/termination record (continued)

(OFFICE SYMBOL)

Date

MEMORANDUM FOR RECORD

SUBJECT: Clearance of Commanders' Emergency Response Program (CERP) <Project #/Project Title>

1. Reference:

a. DoD Financial Management Regulation, Volume 12, Chapter 27, dated January 2009

b. USFOR-A Publication 1-06, dated XX XXX XX, Money As A Weapons System.

2. I certify that all documentation required per Annex B-9 of the MAAWS-A (line items 1-13) has been accounted for in the project file and has been uploaded to the CIM system of record.

3. I certify that all expenditures made for this project, reference DA Form 3953 (PR&C) document number <PR&C document number> were in accordance with the DoD FMR 7000- 14.R, Volume 12, Chapter 27, and the MAAWS-A publication.

4. I certify that the project has been completed and all payments have been made in full to (insert name of the vendor) . Contract <insert document number> was awarded on <date> for \$90,000, <\$XXXX> has been disbursed, and the remaining <\$XXX> has been returned to the responsible Disbursing Officer. Also, the PO has de-obligated the remaining amount from the contract and provided the contract modification to the RM Office.

5. The following individuals were assigned to this project:

a. PM: <Insert Rank, Name, Email, DSN Number, Home Station Unit>

b. PO: <Insert Rank, Name, Email, DSN Number, Home Station Unit>

c. PA: <Insert Rank, Name, Email, DSN Number, Home Station Unit>

CDR'S FULL NAME
CDR'S RANK, BRANCH
Commanding

Figure E-10. Sample commander's clearance memorandum

(OFFICE SYMBOL)

Date

MEMORANDUM FOR RECORD

SUBJECT: Approval of CERP Special Payments


1. The purpose of this memorandum is to document my approval for CERP special payments to the below-mentioned individuals

<u>Name</u>	<u>Type of PMT</u>	<u>Amount</u>	<u>Justification</u>	<u>Date of incident</u>
Smith, John	Battle Damage	\$500	Stray bullets damaged window	1-Oct-10
Wayne, John	Condolence	\$1,000	Stray bullets caused death to spouse	4-Oct-10
Jean, Billy	Hero	\$2,500	Soldier was KIA on mission	20-Oct-10

2. The point of contact is the unit CERP Manager CPT John A Jones at 123-4235 or email at john.a.jones@usa.mil.

CDR'S FULL NAME
CDR'S RANK, BRANCH
Commanding

Figure E-11. Sample special payments approval memorandum for record



DEPARTMENT OF THE ARMY
123RD INFANTRY BATTALION
10000 MAIN STREET, USA
FORT SOMEWHERE, SOMEWHERE 05000

10 January 2013

ATSS-XX

MEMORANDUM FOR OFFICE OF FUNDS APPROVING AUTHORITY

SUBJECT: Request for Additional Funding for CERP Project Water Well in Town Desert

1. 123rd Infantry Battalion is requesting additional funds for CERP Project Water Well in Desert Town, document # 123-456. The accounting classification is:

21 0 2020.0000 SA-2084 P136198.0000 EOR S3APCDRN APC83 S09076

Initial PR&C Amount: \$10,000
1st Requested Amount: \$10,000
2nd Requested Amount: \$5,000
New Total Amount: \$15,000

2. The justification for the increase is (circle and provide explanation as appropriate):

a. Initial estimate too low for competitive quotes.

b. Administrative mistake.

c. Change in initial PR&C requirement.

d. Change in initial PR&C quantity.

e. Other

3. Explanation for the increase: the PPO and PRT engineer underestimated the cost of building the water well. The original cost estimate erroneously left out a generator, a guard house and PVC pipes.

Johnny B. Good
JOHNNY B. GOOD
CPT, INF
Project Purchasing Officer

Brand D. Muscle
BRAND D. MUSCLE
LTC, INF
Commanding

Ben R. Gunning
BEN R. GUNNINGS
CPT, INF
CERP Manager

Big M. Money
BIG M. MONEY
LTC, FI
Division G-8

Figure E-12. Sample request for additional funding (RAF)

MULTIPLE PAYMENTS LIST						Page	of	Pages																																																																																																																																																																																												
<p style="text-align: center; margin: 0;">PRIVACY ACT STATEMENT</p> <p style="margin: 0;">AUTHORITY: Title 5 USC 5516, 5517, 5520, and 5701; Title 37 USC 406-427; and E.O. 9397</p> <p style="margin: 0;">PRINCIPAL PURPOSE(S): Used to supplement DD Form 1351-2, "Travel Voucher or Subvoucher," to substantiate claims for reimbursement when multiple individuals of an organization are performing a fiscal travel at the same time, between the same points, and accounting date is the same. The information collected may also be used as a payroll list.</p> <p style="margin: 0;">ROUTINE USE(S): Information may be furnished to an employee's state and/or local taxing authority, to comply with agreements entered into by the Secretary of the Treasury, for verification of filing information used by an individual in a tax return; in addition, release of information on this form may be made to Federal, state, local or foreign law enforcement agencies, for investigation and possible prosecution of an individual charged with violating any law, statute, rule, regulation, or order in this claim for restriction.</p> <p style="margin: 0;">DISCLOSURE: Voluntary; however, failure to furnish requested information may result in total or partial denial of amount claimed.</p>																																																																																																																																																																																																				
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DD FORM 1351-6, JUN 93

Replaces DD Forms 115 (MAY 74), 1351-1 (SEP 61), and 1351-6 (NOV 64), which may be used until DEC 31, 1993.

Reset

Adobe Professional 7.0

Figure E-13. Sample DD Form 1351-6, Multiple payments list

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Glossary

SECTION I – ACRONYMS AND ABBREVIATIONS

ABO	Army Budget Office
ADA	Anti-Deficiency Act
ADT	agriculture development team
ALMS	Army Learning Management System
AOR	area of responsibility
ARCENT	Army Central
ASCOPE	areas, structures, capabilities, organizations, people, and events
ATP	Army techniques publication
CA	Civil Affairs
CAO	Civil Affairs Operations
CAPT	Civil Affairs planning team
CENTCOM	Central Command
CERP	Commanders' Emergency Response Program
CIG	civil information grid
CMO	civil-military operations
CMOC	Civil-military Operations Center
COIN	counterinsurgency
COR	contracting officer's representative
CoS	chief of staff
CRRT	CERP Reviewing/Reporting Tracker
DA	disbursing agent
DD	Department of Defense
DDO	deputy disbursing officer
DOS	Department of State
DRN	document reference number
EFT	electronic funds transfer
G-8	assistant chief of staff, financial management
G-9	assistant chief of staff, CAO
HA	humanitarian assistance
IGCE	independent government cost estimate
LDA	limited depository checking account
LOA	line of accounting
MFR	memorandum for record
MISO	military information support operations
MOA	memorandum of agreement
MOD	Ministry of Defense
MOI	Ministry of Interior
MSC	major subordinate commands

NGO	non-governmental organization
OF	optional form
OHDACA	Overseas Humanitarian Disaster and Civic Aid
OSD	Office of the Secretary of Defense
PBO	property book officer
PDP	Provincial Development Plan
PM	project manager
PPO	project purchasing officer
PRT	provincial reconstruction team
QA	quality assurance
QC	quality control
RAF	request for additional funding
SAV	staff assistance visit
SF	standard form
SJA	staff judge advocate
SOW	statement of work
SSI	Soldier Support Institute
TOA	transfer of authority
TRADOC	Training and Doctrine Command
UFR	unfinanced requirements list
UN	United Nations
USAID	United States Agency for International Development
USD(C)	Under Secretary of Defense (Comptroller)
USG	United States government
XO	executive officer

SECTION II – TERMS

antideficiency violation

(joint) The incurring of obligations or the making of expenditure (outlays) in violation of appropriation law as to purpose, time, and amounts as specified in the defense appropriation or appropriations of funds. (JP 1-06).

area assessment

(joint) The commander's prescribed collection of specific information that commences upon employment and is a continuous operation. It confirms, corrects, refutes, or adds to previous intelligence acquired from area studies and other sources prior to employment. (JP 3-05)

Civil Affairs operations

(joint) Those military operations conducted by civil affairs forces that (1) enhance the relationship between military forces and civil authorities in localities where military forces are present; (2) require coordination with other interagency organizations, intergovernmental organizations, nongovernmental organizations, indigenous populations and institutions, and the private sector; and (3) involve application of functional specialty skills that normally are the responsibility of civil government to enhance the conduct of civil-military operations. Also called CAO. (JP 3-57)

Civil Affairs operations project management

The six step process by which Civil Affairs forces identify, validate, plan, coordinate, facilitate, and monitor both material and nonmaterial Civil Affairs operations projects to achieve a supported commander's objectives relating to the civil component of the operational environment. (FM 3-57)

contracting officer

(joint) The Service member or Department of Defense civilian with the legal authority to enter into, administer, modify, and/or terminate contracts. (JP 4-10).

disbursing officer

(joint) A military member or a civilian employee of a DoD Component designated to disburse monies and render accounts according to laws and regulations governing the disbursement of public moneys. DOs must be U. S. citizens. Also known as [DO]. (DoDFMR 7000-14.R, Volume 5).

deputy disbursing officer

(joint) An individual appointed by the disbursing officer to act in the name of and for that disbursing officer to perform any and all acts relating to the receipt, disbursement, custody, and accounting for public funds. The disbursing officer making the appointment may restrict the acts a deputy is authorized to perform. All deputy disbursing officer appointees must be U.S. citizens. Also known as [DDO]. (DoDFMR 7000-14.R, Volume 5).

disbursing agent

(joint) An agent to the disbursing officer not appointed as a deputy disbursing officer. Generally, a disbursing agent operates a permanently-located disbursing office that is often, but not always, geographically separated from the disbursing office. Also known as [DA]. (DoDFMR 7000-14.R, Volume 5).

electronic commerce

(joint) A wide range of financial functions which are performed using data communications techniques. Also known as [E-commerce]. (DoDFMR 7000-14.R, Volume 5).

foreign humanitarian assistance

(joint) Department of Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering, disease, hunger, or privation. Also called FHA. See also foreign assistance. (JP 3-29)

interagency

(joint) United States Government agencies and departments, including the Department of Defense. See also interagency coordination. (JP 3-08)

pay agent

(joint) A military member or DoD civilian employee appointed by the commander to act as an agent of a disbursing officer. The purpose of a paying agent is to make specific payments, currency conversions, or check cashing transactions from funds temporarily advanced to the agent by the disbursing officer. Paying agents are individuals whose regular duties do not involve disbursing functions and who are not organizationally located in the disbursing office. They are appointed to the position of paying agent as a collateral duty and will be under the exclusive supervision of the disbursing officer in all matters concerning custody and disposition of funds advanced to them. They will comply with all instructions and regulations pertaining to their paying agent duties as issued by the disbursing officer. All payments or currency conversions made by a paying agent are made for, and in the name of, the disbursing officer making the appointment. Funds advanced to a paying agent are held at personal risk by the paying agent and must be accounted for to the disbursing officer immediately upon completion of the transaction(s) for which advanced. Also known as [PA]. (DoDFMR 7000-14.R, Volume 5)

performance work statement

(joint) A statement of work for performance based acquisitions that describe the results in clear, specific, and objective terms with measurable outcomes. Also called PWS. (JP 4-10).

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References

RELATED PUBLICATIONS

These documents contain relevant supplemental information.

ARMY PUBLICATIONS

FM 1-06, *Financial Management Operations*, 4 April 2011

FM 3-57, *Civil Affairs Operations*, 31 October 2011

DEPARTMENT OF THE ARMY EXECUTIVE ORDERS

Executive Order 048-10, *Contracting Officer's Representative Process*

JOINT AND DEPARTMENT OF DEFENSE PUBLICATIONS

DoD 7000.14-R, *Department of Defense Financial Management Regulations (FMRs)*, including the following volumes:

[Note: These volumes are available online at <http://www.dod.mil/comptroller/fmr/>.]

Volume 5. *Disbursing Policy and Procedures*. October 2011

Volume 10. *Contract Payment Policy and Procedures*, October 2011

PUBLIC LAW

Public Law 95-563, *Prompt Payment Act* (1978)

Public Law 112-81, *National Defense Authorization Act* (2012)

UNITED STATES CODE

Title 22, USC, *Foreign Relations and Intercourse*, January 2012

REFERENCED FORMS

These forms must be available to the intended users of this publication.

ARMY FORMS

DA Form 200, *Transmittal Record*

DA Form 2028, *Recommended Changes to Publications and Blank Forms*

DA Form 3953, *Purchase Request and Commitment*

DEPARTMENT OF DEFENSE FORMS

DD Form 250, *Material Inspection and Receiving Report*

DD Form 1155, *Order for Supplies of Services*

DD Form 1164, *Service Order for Persona Property*

DD Form 577, *Appointment/Termination Record – Authorized Signature*

DD Form 1081, *Statement of Agent Officer's Account*

DD Form 1351-6, *Multiple Payments List*

OTHER FORMS

SF 26, *Award/Contract*

SF 33, *Solicitation, Offer and Award*

SF 1165, *Receipt for Cash-Subvoucher (Available through normal forms supply channels.)*

SF 1449, *Solicitation/Contract/Order for Commercial Items*

References

OF 307, *Contract Award*

SF 44, *Purchase Order – Invoice – Voucher*

SF 1034, *Public Voucher for Purchases and Services other than Personal*

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ATP 1-06.2
5 April 2013

By order of the Secretary of the Army:

RAYMOND T. ODIERNO
General, United States Army
Chief of Staff

Official:

A handwritten signature in black ink, reading "Joyce E. Morrow". The signature is fluid and cursive, with the first name "Joyce" and last name "Morrow" clearly legible.

JOYCE E. MORROW
Administrative Assistant to the
Secretary of the Army
1309506

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